



IAPD Report

James Edward Thom

CRD# 2137278

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

James Edward Thom (CRD# 2137278)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	04/06/1994
IA	EDWARD JONES	CRD# 250	03/10/1998

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **22** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	05/02/1991 - 04/18/1994
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	05/02/1991 - 04/18/1994

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **22** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/06/1994
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	04/06/1994
B Alabama	Agent	Approved	03/08/2023
B Arizona	Agent	Approved	09/07/2004
B California	Agent	Approved	12/16/2004
B Colorado	Agent	Approved	09/24/2014
B Florida	Agent	Approved	08/18/1994
B Georgia	Agent	Approved	04/26/2023
B Illinois	Agent	Approved	08/01/1994
B Iowa	Agent	Approved	06/14/2022
B Louisiana	Agent	Approved	03/21/2024



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	11/01/2012
B Minnesota	Agent	Approved	04/06/1994
B Missouri	Agent	Approved	03/22/2006
B New Jersey	Agent	Approved	11/29/2018
B New York	Agent	Approved	05/28/2024
B North Carolina	Agent	Approved	12/04/2023
B Tennessee	Agent	Approved	04/24/2020
B Texas	Agent	Approved	03/08/2017
IA Texas	Investment Adviser Representative	Restricted Approval	03/12/2019
B Utah	Agent	Approved	08/28/2012
B Vermont	Agent	Approved	06/14/2022
B Virginia	Agent	Approved	01/03/2012
B Washington	Agent	Approved	11/20/2025
IA Wisconsin	Investment Adviser Representative	Approved	03/10/1998
B Wisconsin	Agent	Approved	01/27/2003

Branch Office Locations

EDWARD JONES
1122 NORTH 7TH STREET
SHEBOYGAN, WI 53081



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	05/01/1991
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1991
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/02/1991 - 04/18/1994	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/02/1991 - 04/18/1994	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/1994 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SHEBOYGAN, WI, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Commercial office building
 Type of business: rental
 Sheboygan, WI
 Start date: 4/1/1998
 owner
 Hours per week: 0
 Hours during trading: 0
 Desc: Edward Jones office lease



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT STATES SHE HAD HER ACCOUNT EVALUATED BY ANOTHER IR AND IT WAS SUGGESTED THE MUTUAL FUNDS SHE PURCHASED WERE OF "AVERAGE" QUALITY WITH "EXCESSIVE" RISK FOR HER AGE AND RISK TOLERANCE. CLIENT CLAIMS SHE WAS ADVISED SHE SHOULD NOT HAVE PURCHASED INDIVIDUAL STOCKS AND IT WAS "UNPROFESSIONAL" FOR THOM TO SUGGEST SHE PURCHASE INDIVIDUAL STOCKS BASED ON HER "LEVEL OF INVESTMENT KNOWLEDGE AND UNDERSTANDING". CLIENT STATES SHE WAS ADVISED THE STOCKS WERE "OVER-VALUED HIGH-RISK" STOCKS THAT WERE NOT SUITABLE. CLIENT CLAIMS LOSSES IN EXCESS OF \$5,000.00.

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/06/2004

Complaint Pending? No

Status: Denied

Status Date: 01/10/2005

Settlement Amount:

**Individual Contribution Amount:****Broker Statement**

ACCORDING TO THE IR, WHEN THE PORTFOLIO OF INVESTMENTS WAS ORIGINALLY PURCHASED MOST OF THE INVESTMENTS WERE CATEGORIZED AS GROWTH/GROWTH AND INCOME INVESTMENTS. ACCORDING TO OUR RECORDS, THE SPECIFIC STOCKS REFERENCED IN YOUR CORRESPONDENCE WERE PURCHASED AS FOLLOWS: 1) LUCENT TECHNOLOGIES INC – 50 SHARES WERE PURCHASED ON APRIL 27, 2000; 2) MCI WORLDCOM INC – 75 SHARES WERE PURCHASED ON APRIL 27, 2000; 3) WILLIAMS COS INC – 100 SHARES WERE PURCHASED ON APRIL 27, 2000; AND 4) AGERE SYSTEMS INC – 13 SHARES WERE RECEIVED IN THE ACCOUNT ON JUNE 3, 2002 AS A RESULT OF A SPIN-OFF FROM LUCENT TECHNOLOGIES. AT THE TIME OF THE PURCHASES, THE CLIENT RECEIVED TRADE CONFIRMATIONS, WHICH PROVIDED DETAILS OF THE TRANSACTIONS. SINCE THE PURCHASES, THE CLIENT HAS RECEIVED STATEMENTS THAT PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. THEREFORE, IT IS OUR OPINION ALL TRANSACTIONS EFFECTED IN THE ACCOUNT WERE AUTHORIZED. FURTHERMORE, IT APPEARS THE INVESTMENTS PURCHASED IN THE ACCOUNT WERE NOT OUTSIDE THE SCOPE OF THE OBJECTIVES OF THE ACCOUNT. THE IR HAS INDICATED HE DISCUSSED THE PORTFOLIO WITH THE CLIENT AND DID MAKE SUGGESTIONS FOR CHANGES, BUT THE CLIENT WAS NOT RECEPTIVE TO HIS SUGGESTIONS. CLAIM DENIED.

Disclosure 2 of 2**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

ATTORNEY FOR CLIENT CLAIMS CLIENT WAS MISLED BY THE THOM'S REPRESENTATIONS AND THE ACCOUNT WAS "SERIOUSLY MISMANAGED" RESULTING IN SUBSTANTIAL DAMAGE TO THE CUSTOMER'S NET WORTH. ATTORNEY STATES THOM GUARANTEED THE ACCOUNT WOULD PROSPER IF IT WAS MOVED TO EDJ. ATTORNEY CLAIMS MONEY WAS INVESTED IN EXTREMELY AGGRESSIVE HIGH TECH STOCKS WHICH HAVE PERFORMED POORLY AND THOM FAILED TO APPROPRIATELY ADVISE AND MONITOR CLIENT'S ACCOUNT AND THE ACCOUNT WAS INADEQUATELY DIVERSIFIED. CLAIMS THIS IS CLIENT'S ONLY RETIREMENT ACCOUNT AND CLIENT DID NOT UNDERSTAND THE AGGRESSIVE NATURE OR RISK ASSOCIATED WITH THESE INVESTMENTS. ATTORNEY CLAIMS, AS RESULT OF THOM'S REPRESENTATIONS, THE CLIENT HAS SUSTAINED A LOSS TO CLIENT'S NET WORTH OF APPROX. 50%. CLAIM EXCEEDS \$5,000

Product Type:

Other

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

09/05/2001



Complaint Pending?

No

Status:

Denied

Status Date:

10/01/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLIENT HELD TWO ACCCOUNT AT KUNKEL/FIDELITY. THOM RECOMMENDED HE CONTINUE HOLDING THE PUTNAM FUNDS (B SHARES) AND THE GOLDEN SELECT ANNUITY AS THERE WOULD BE CONTIGENT DEFERRED SALES CHARGES TO LIQUIDATE BOTH. FIDELITY FUNDS WERE LIQUIDATED AND PROCEEDS TRANSFERRED TO EDWARD JONES TO PURCHASE INDIIVIDAL COMPANY STOCKS -- LUCENT, HOME DEPOT, INTEL AND TEXAS INSTRUMENTS. THOM STATES HE DID NOT GUARANTEE ANY RATE OF RETURN TO THE CLIENT, BUT HE DID SUGGEST THE CLIENT SEEK A 10% RETURN OVER 10 YEARS. ALSO STATES HE INFORMED THE CLIENT HE SHOULD ANTICIPATE BAD YEARS, I.E. YEARS IN WHICH THE INVESTMENTS WOULD NOT PERFORM WELL. BASED ON OUR REVIEW, IT APPEARS THOM MADE HIS SUGGESTIONS BASED ON DISCUSSIONS WITH THE CLIENT. THE CLIENT HAS RECEIVED TRADE CONFIRMATIONS AS WELL AS STATEMENTS. THEREFORE, IT WOULD APPEAR THE TRANSACTIONS WERE AUTHORIZED. ACCORDING TO OUR RECORDS, A SIGNIFICANT PERCENTAGE OF THE INVESTMENTS CATEGORIZED AS "AGGRESSIVE" WERE TRANSFERRED FROM ANOTHER FIRM. IN ADDITION, AT THE TIME OF PURCHASE LUCENT APPEARS TO HAVE BEEN CATEGORIZED AS A GROWTH STOCK, AS EVIDENCED BY THE CUSTOMER STATEMENT. FURTHERMORE, SOME OF THE FIDELITY FUNDS HELD BY THE CLIENT APPEAR TO HAVE BEEN CATEGORIZED AS AGGRESSIVE FUNDS. CLAIM DENIED.



End of Report

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