



## IAPD Report

# Mark Thomas Harrison

CRD# 2226387

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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

### Mark Thomas Harrison (CRD# 2226387)

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 **05/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	04/13/1993
<b>IA</b>	EDWARD JONES	CRD# 250	02/11/1999

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **21** 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>B</b>	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO	04/30/1992 - 02/22/1993

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	4



## 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 **21** 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>B</b> FINRA	General Securities Representative	Approved	04/13/1993
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/13/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	04/13/1993
<b>B</b> Arizona	Agent	Approved	08/16/2000
<b>B</b> California	Agent	Approved	07/05/2000
<b>B</b> Colorado	Agent	Approved	04/06/2018
<b>B</b> Florida	Agent	Approved	11/14/2005
<b>B</b> Georgia	Agent	Approved	04/27/2005
<b>B</b> Illinois	Agent	Approved	04/23/1993
<b>B</b> Indiana	Agent	Approved	05/07/2026
<b>B</b> Iowa	Agent	Approved	05/13/2005
<b>B</b> Kansas	Agent	Approved	09/19/2005



### Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	04/12/2010
B Michigan	Agent	Approved	07/24/2001
B Mississippi	Agent	Approved	11/13/2024
B Missouri	Agent	Approved	04/20/1993
IA Missouri	Investment Adviser Representative	Approved	02/11/1999
B Nebraska	Agent	Approved	08/29/2018
B New York	Agent	Approved	03/23/2006
B Oklahoma	Agent	Approved	03/23/2006
B South Carolina	Agent	Approved	10/30/2025
B Texas	Agent	Approved	06/03/2005
IA Texas	Investment Adviser Representative	Restricted Approval	02/20/2019
B Virginia	Agent	Approved	04/13/2020
B Washington	Agent	Approved	10/23/1997
B Wisconsin	Agent	Approved	01/31/2025

### Branch Office Locations

**EDWARD JONES**  
437 Locust Street  
CHILLICOTHE, MO 64601-0828



## 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 3 state securities law exams.**

#### 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	04/15/1992
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#### State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	10/15/2025
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	Uniform Investment Adviser Law Examination (S65)	Series 65	10/10/2025
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	Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1992
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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>B</b>	04/30/1992 - 02/22/1993	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

### 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
03/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	ARNOLD, MO, 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.

No information reported.



## 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	4

### 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 4

**Reporting Source:** Individual

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

**Allegations:** 01/2009-07/2009; CLIENT STATES THE FA DID NOT DO MUCH "ADVISING" FOR HER FATHER'S ACCOUNT. CLIENT STATES APPROXIMATELY 1 1/2 YEARS AGO, HER FATHER'S INVESTMENTS WERE VALUED AT \$1,000,000.00 AND AT THE TIME OF HIS DEATH HE HAD LOST OVER \$300,000.00. CLIENT QUESTIONS WHY THE FA HAD HER FATHER INVESTED IN HIGH YIELD/HIGH LOSS ACCOUNTS AND WHY THE FA DID NOT ADVISE HER FATHER TO MAKE CHANGES TO THE PORTFOLIO ALLOCATION. CLIENT ALSO INDICATES SEVERAL ISSUES RELATED TO THE PROCESSING OF HER FATHER'S ACCOUNT AND STATES SHE WOULD THINK THAT THE FA WOULD KNOW HOW TO HANDLE DISTRIBUTIONS TO BENEFICIARIES. CLIENT DOES NOT MAKE A SPECIFIC CLAIM; HOWEVER, SHE ALLEGES DAMAGED IN EXCESS OF \$300,000.00 - FILING REQUIRED.

**Product Type:** Mutual Fund

**Alleged Damages:** \$5,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 07/13/2009



**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 08/06/2009

**Settlement Amount:**  
**Individual Contribution Amount:**

**Broker Statement**

ACCORDING TO OUR RECORDS, THE FATHER'S ACCOUNT WAS ESTABLISHED IN 2005. THE FA HAS INDICATED IN REVIEWING THE ACCOUNT THE FATHER ALWAYS SEEMED TO BE SATISFIED WITH THE PERFORMANCE OF THE INVESTMENTS AS WELL AS THE INCOME PRODUCED. SINCE THE ACCOUNT WAS ESTABLISHED, THE CLIENT HAS RECEIVED ACCOUNT STATEMENTS WHICH PROVIDED INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT DO NOT SEEM TO BE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES. WHILE WE UNDERSTAND THE DAUGHTER'S DISAPPOINTMENT WITH THE DECLINE IN THE VALUE OF THE ACCOUNT, THE DECLINE APPEARS TO BE ATTRIBUTED TO MARKET FLUCTUATION AS WELL AS WITHDRAWALS. UNFORTUNATELY, WE HAVE ALSO EXPERIENCED UNPRECEDENTED MARKET CONDITIONS WHICH HAVE HAD A SIGNIFICANT IMPACT ON ACCOUNT VALUATIONS. THE FA HAS INDICATED, WHEN HE INITIALLY DISCUSSED THE DISTRIBUTION OF THE CLIENT'S ACCOUNT WITH HIS DAUGHTER, HE WAS SPEAKING IN GENERALITIES AND, AT THAT TIME, DID NOT REALIZE THE ACCOUNT IN QUESTION HAD A TRANSFER ON DEATH AGREEMENT ON FILE. OUR RECORDS REFLECT THE PAPERWORK TO PROCESS THE ACCOUNT WAS SIGNED ON JULY 2, 2009 AND THE DISTRIBUTION TO THE DAUGHTER'S SINGLE REGISTRATION ACCOUNT WAS COMPLETED ON THE JULY 6, 2009. BASED ON OUR REVIEW, IT IS OUR OPINION; THE DISTRIBUTION OF THE ACCOUNT WAS HANDLED IN AN APPROPRIATE AND TIMELY MANNER.

**Disclosure 2 of 4**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** CLIENT CLAIMS THE IR PLACED HER FUNDS IN A VARIABLE ANNUITY INSTEAD OF A FIXED ANNUITY AS INSTRUCTED. CLIENT CLAIMS SHE NEEDED TO KEEP THESE FUNDS LIQUID DUE TO HUSBAND'S HEALTH PROBLEMS. CLIENT IS REQUESTING HELP TO RESOLVE THIS MATTER. CLAIM EXCEEDS \$5,000.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/15/2003  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 06/10/2003

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

IR STATED HE DISCUSSED A NUMBER OF OPTIONS REGARDING THE REINVESTMENT OF PRINCIPAL AND INTEREST FROM A MATURING CD. ACCORDING TO IR CLIENT WAS INTERESTED IN THE ANNUITY INVESTMENT AND HE COVERED BOTH FIXED AND VARIABLE ANNUITIES. IR STATED HE ULTIMATELY RECOMMENDED THE POLARIS II VARIABLE ANNUITY. HE FURTHER STATED HE DISCUSSED THE FEATURES OF THE ANNUITY TO INCLUDE THE SURRENDER CHARGE, DEATH BENEFIT AND WITHDRAWALS ELIGIBLE WITHOUT PENALTY. HE INDICATED HE ALSO DISCUSSED THE SUBACCOUNTS THAT HE RECOMMENDED AND EXPLAINED HOW THE PRINCIPAL INVESTED WOULD BE DOLLAR COST AVERAGED (DCA) INTO THE SUBACCOUNTS OVER A PERIOD OF TIME. ACCORDING TO IR, HE EXPLAINED THE MONIES IN THE DCA POOL WOULD EARN A SET INTEREST RATE UNTIL MOVED (OVER A SIX MONTH PERIOD) INTO THE SUBACCOUNTS SELECTED. IR STATED HE INFORMED CLIENT THAT ONCE THE FUNDS WERE INVESTED IN THE SUBACCOUNTS, THEY WOULD BECOME SUSCEPTIBLE TO MARKET FLUCTUATION. IR STATED HE HAD NO REASON TO BELIEVE THERE WAS ANY CONFUSION ON CLIENT'S PART AS TO THE INVESTMENT BEING A VARIABLE ANNUITY. OUR RECORDS INDICATE THE ANNUITY WAS ISSUED ON MAY 31, 2000, AND CLIENT WOULD HAVE RECEIVED CUSTOMER STATEMENTS FROM THE DATE OF PURCHASE FROM BOTH THE ANNUITY COMPANY AND EDWARD JONES REFLECTING THE PERFORMANCE OF THE ANNUITY CONTRACT. THE EDWARD JONES STATEMENTS SPECIFICALLY REFER TO THE ANNUITY INVESTMENT AS A VARIABLE ANNUITY. CLAIM DENIED.

**Disclosure 3 of 4****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

THE CLIENT STATES SHE LETS HARRISON MAKE RECOMMENDATIONS FOR HER ACCOUNT, HER DAUGHTERS ACCOUNT AND FOR EDUCATIONAL IRAS FOR HER GRANDCHILDREN. THE CLIENT STATES HARRISON RECOMMENDED THE THREE GRANDKIDS INVEST IN PUTNAM OTC EMERGING GROWTH FUNDS AND RECOMMENED VARIOUS MUTUAL FUNDS IN HER ROTH IRA. THE CLIENT IS UNHAPPY WITH THE PERFORMANCE OF THE FUNDS HARRISON RECOMMENDED. THE VALUE OF THE FOUR ACCOUNTS HAD DECLINED APPROXIMATELY \$6,300.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$6,300.00

**Customer Complaint Information****Date Complaint Received:**

03/28/2001

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

05/22/2001

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

IR STATED HE MADE HIS RECOMMENDATIONS BASED ON INFORMATION HE RECEIVED FROM THE CUSTOMER AND ACKNOWLEDGED HE HAD RECOMMENDED THE AGGRESSIVE GROWTH FUNDS FOR THE GRANDCHILDREN'S ACCOUNTS. MR. HARRISON CLAIMS HE EXPLAINED THE RISKS INVOLVED WITH THE INVESTMENTS AND ALSO PROVIDED INFORMATION CONCERNING ALTERNATIVE INVESTMENTS TO THE CUSTOMER AND HER DAUGHTER. MR. HARRISON INDICATED HE PROVIDED INFORMATION CONCERNING A VARIETY OF MUTUAL FUNDS TO THE CUSTOMER AND THE INVESTMENTS MADE WERE AUTHORIZED BY THE GRANDMOTHER AND HER DAUGHTER WHO WAS THE NAMED CUSTODIAN. PROSPECTUSES WERE ALSO PROVIDED TO THE CUSTOMERS FOR THE FUNDS. OUR POSITION IS THAT IT IS UNFORTUNATE MARKET FLUCTUATION HAS RESULTED IN THE INVESTMENTS DROPPING IN VALUE, BUT MR. HARRISON MADE HIS RECOMMENDATIONS IN GOOD FAITH, EXPLAINED THE RISKS INVOLVED WITH THE INVESTMENTS AND THE CUSTOMER AND HER DAUGHTER AUTHORIZED THE TRADES. CLAIM DENIED.

**Disclosure 4 of 4****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

IN JUNE 1999 THE CLIENT REINVESTED PROCEEDS FROM UTILITY BONDS THAT WERE CALLED INTO A FORTIS ANNUITY BASED ON HARRISONS RECOMMENDATION. THE CLIENT FEELS AN ANNUITY IS NOT A SUTIABLE INVESTMENT FOR AN INDIVIDUAL HIS AGE. THE CLIENT FURTHER STATES HARRISON DID NOT EXPLAIN THE INVESTMENT PROPERLY. AT THE TIME OF THE LETTER THE ANNUITY SURRENDER VALUE WOULD EXCEED \$30,000.

**Product Type:**

Annuity-Fixed

**Alleged Damages:**

\$30,000.00

**Is this an oral complaint?**

No

**Is this a written complaint?**

Yes

**Is this an arbitration/CFTC reparation or civil litigation?**

No

**Customer Complaint Information****Date Complaint Received:**

02/05/2001

**Complaint Pending?**

No

**Status:**

Denied



**Status Date:** 04/04/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

HARRISON INDICATES HE VISITED WITH THE CLIENT FOR A NUMBER OF YEARS REGARDING GROWTH INVESTING AND ADDRESSED QUESTIONS ON THE ANNUITY PRIOR TO THE INVESTMENT BEING MADE. HARRISON STATES HE RECOMMENDED THE ANNUITY BECAUSE OF THE CLIENTS CONCERN OVER THE INTEREST RATES AT THE TIME AND THE LACK OF GROWTH OF HIS PRINCIPAL. HARRISON STATES THE DETAILS OF THE ANNUITY, INCLUDING CDSC CHARGES, WERE DISCUSSED AS WELL AS THE POSSIBILITY OF VALUE CHANGING WITH THE FLUCTUATING MARKET. IT APPEARS THE ANNUITY WAS PURCHASED BASED ON CONVERSATIONS WITH THE CLIENT AND WITH THE CLIENTS AUTHORIZATION. CLAIM DENIED.



## End of Report

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