



IAPD Report

EDWARD JAMES JEFFERY

CRD# 2296293

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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

EDWARD JAMES JEFFERY (CRD# 2296293)

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 **12/21/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	07/02/2015
IA	AEGIS CAPITAL CORP.	CRD# 15007	07/02/2015

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **7** 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
IA	JHS CAPITAL ADVISORS, LLC	112097	PORTLAND, OR	04/11/2012 - 07/07/2015
B	JHS CAPITAL ADVISORS, LLC	112097	PORTLAND, OR	04/02/2012 - 07/07/2015
IA	PAULSON INVESTMENT COMPANY, INC.	5670	PORTLAND, OR	06/20/2007 - 04/11/2012

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
Regulatory Event	1
Criminal	1
Customer Dispute	1



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 7 jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/02/2015
B FINRA	General Securities Representative	Approved	07/02/2015
B NYSE Arca, Inc.	General Securities Principal	Approved	07/02/2015
B NYSE Arca, Inc.	General Securities Representative	Approved	07/02/2015
B Nasdaq Stock Market	General Securities Principal	Approved	07/02/2015
B Nasdaq Stock Market	General Securities Representative	Approved	07/02/2015
B California	Agent	Approved	07/02/2015
B Idaho	Agent	Approved	07/02/2015
B Louisiana	Agent	Approved	12/22/2023
B New York	Agent	Approved	07/02/2015
IA New York	Investment Adviser Representative	Approved	06/20/2021
IA Oregon	Investment Adviser Representative	Approved	07/02/2015
B Oregon	Agent	Approved	07/06/2015



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	07/02/2015
B Washington	Agent	Approved	07/15/2015

Branch Office Locations

AEGIS CAPITAL CORP.
1000 SW BROADWAY
SUITE 1220
PORTLAND, OR 97205



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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/01/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/18/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	06/18/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/24/1992

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
IA	04/11/2012 - 07/07/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	PORTLAND, OR
B	04/02/2012 - 07/07/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	PORTLAND, OR
IA	06/20/2007 - 04/11/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR
B	11/23/1992 - 04/11/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR

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
07/2015 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, 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.

- 1) EDWARD JEFFERY LLC; SOLE MEMBER; BUSINESS ESTABLISHED FOR 1099 EXPENSES; START DATE: 7/2015; 0-1 HOUR DEVOTED TO BUSINESS DURING SECURITIES TRADING HOURS.
- 2) BROADWAY GROUP LLC; MANAGING MEMBER; BUSINESS ESTABLISHED FOR 1099 OFFICE EXPENSES; START DATE: 7/2015; 0-1 HOUR PER MONTH DEVOTED TO BUSINESS DURING SECURITIES TRADING HOURS.
- 3) EDWARD JEFFERY PERSONAL PROPERTY, PORTLAND OR 97215; INVESTMENT RELATED; RESIDENTIAL RENTAL PROPERTY OWNER; START DATE: 2004; 0 HOURS PER MONTH DEVOTED TO BUSINESS.



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
Regulatory Event	1
Criminal	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/11/2009

Docket/Case Number: [2007011939401](#)

Employing firm when activity occurred which led to the regulatory action: PAULSON INVESTMENT COMPANY, INC.

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Allegations: NASD RULES 2110, 2510(B) - JEFFERY EFFECTED DISCRETIONARY TRANSACTIONS IN A CUSTOMER'S ACCOUNT WITHOUT WRITTEN DISCRETIONARY AUTHORITY AND WITHOUT HAVING THE CUSTOMER'S ACCOUNTS ACCEPTED AS DISCRETIONARY ACCOUNTS BY HIS MEMBER FIRM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/11/2009

Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, JEFFERY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, JEFFERY IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM APRIL 6, 2009 THROUGH MAY 18, 2009.

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Reporting Source: Individual

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: MONETARY FINE

Date Initiated: 03/11/2009

Docket/Case Number: 200701193401

Employing firm when activity occurred which led to the regulatory action: PAULSON INVESTMENT COMPANY, INC.

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES.

Allegations: NASD RULES 2110 AND 2510(B). JEFFERY EFFECTED DISCRETIONARY TRANSACTIONS IN A CUSTOMER'S ACCOUNT WITHOUT WRITTEN DISCRETIONARY AUTHORITY AND WITHOUT HAVING THE CUSTOMER'S ACCOUNTS ACCEPTED AS DISCRETIONARY ACCOUNTS BY HIS MEMBER FIRM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/11/2009

Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, JEFFERY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS. THEREFORE, JEFFERY IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM APRIL 6, 2009



THROUGH MAY 18, 2009.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	The Circuit Court of the State of Oregon
Location of Court:	Clackamas County, Oregon
Docket/Case #:	18CR42937
Charge Date:	06/27/2018
Charge(s) 1 of 3	
Formal Charge(s)/Description:	ORS 164.365 CRIMINAL MISCHIEF IN THE FIRST DEGREE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No plea
Disposition of charge:	Parties entered into a civil compromise agreement, all charges dismissed.
Charge(s) 2 of 3	
Formal Charge(s)/Description:	ORS 164.245 CRIMINAL TRESPASS IN THE SECOND DEGREE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No plea
Disposition of charge:	Parties entered into a civil compromise agreement.
Charge(s) 3 of 3	
Formal Charge(s)/Description:	ORS 164.354 CRIMINAL MISCHIEF IN THE SECOND DEGREE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No plea
Disposition of charge:	Parties entered into a civil compromise agreement.
Current Status:	Final
Status Date:	08/30/2018
Disposition Date:	08/30/2018
Sentence/Penalty:	Defendant agreed to pay \$150,000 to injured party. \$60,000 paid 08/30/2018; Remainder of \$90,000 paid in eight quarterly installments in the amount of \$11,250.00 beginning 01/15/2019, and each quarter thereafter (04/15/2019; 06/15/2019; 09/15/2019; 01/15/2020; 04/15/2020; 06/15/2020 and 09/15/2020), agreed to perform fifty hours of community service at an environmental nonprofit



organization.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAULSON INVESTMENT COMPANY, INC.
Allegations:	CLIENT ALLEGES THAT VARIOUS TRADES WERE NOT AUTHORIZED BY HER AND THAT THE LEVEL OF TRADING WAS EXCESSIVE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$151,890.63

Customer Complaint Information

Date Complaint Received:	11/13/2007
Complaint Pending?	No
Status:	Settled
Status Date:	12/21/2007
Settlement Amount:	\$125,000.00
Individual Contribution Amount:	\$31,250.00



End of Report

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