



## IAPD Report

# Steven John Duffy

CRD# 2308566

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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

### Steven John Duffy (CRD# 2308566)

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 **03/14/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	03/18/1993
<b>IA</b>	EDWARD JONES	CRD# 250	02/02/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **25** 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
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No information reported.

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
Criminal	1
Customer Dispute	3



## 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 **25** 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	03/18/1993
<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	03/18/1993
<b>B</b>	Alabama	Agent	Approved	03/18/2014
<b>B</b>	Arizona	Agent	Approved	06/01/1999
<b>B</b>	California	Agent	Approved	05/13/1993
<b>IA</b>	California	Investment Adviser Representative	Approved	02/02/2007
<b>B</b>	Colorado	Agent	Approved	07/19/2011
<b>B</b>	Florida	Agent	Approved	08/08/2014
<b>B</b>	Georgia	Agent	Approved	08/01/2022
<b>B</b>	Hawaii	Agent	Approved	05/03/2012
<b>B</b>	Idaho	Agent	Approved	03/10/1998



### Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	07/26/2016
B Maryland	Agent	Approved	08/21/2017
B Missouri	Agent	Approved	05/11/2015
B Montana	Agent	Approved	03/18/2019
B Nevada	Agent	Approved	03/23/2006
B New Jersey	Agent	Approved	10/30/2013
B New Mexico	Agent	Approved	01/10/2007
B North Carolina	Agent	Approved	09/10/2015
B Oregon	Agent	Approved	07/27/2007
B Pennsylvania	Agent	Approved	09/14/2023
B Rhode Island	Agent	Approved	05/19/2015
B South Carolina	Agent	Approved	08/13/2008
B Tennessee	Agent	Approved	07/27/2022
B Texas	Agent	Approved	01/24/2020
IA Texas	Investment Adviser Representative	Restricted Approval	04/29/2021
B Utah	Agent	Approved	11/22/2019
B Washington	Agent	Approved	07/30/1993
B Wyoming	Agent	Approved	12/07/2012



## Qualifications

### Branch Office Locations

#### **EDWARD JONES**

1995 EL CAMINO REAL SUITE 302  
SANTA CLARA, CA 95050



## 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 2 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	03/15/1993
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/31/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1993
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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:



No information reported.

### 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
11/1992 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SANTA CLARA, CA, 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.

DIOCESE OF SAN JOSE  
 SAN JOSE, CA  
 START DATE: 5/01/2005  
 LAY PENSION BOARDMEMBER  
 HOURS DURING WEEK: 0  
 HOURS DURING TRADING: 0  
 OVERSIGHT OF THE \$100 MILLION LAY PENSION POOL.

Diocese of San Jose  
 San Jose, CA  
 Start date: 6/1/2009  
 Investment Committee  
 Hours per week: 0  
 Hours during trading: 0  
 Review & meet with money managers on a quarterly basis to review performance of Investment Pool. Also review & recommend changes to the Investment Policy of the Diocese of San Jose.

Diocese of San Jose  
 San Jose, CA  
 Start date: 2/17/2005  
 Finance Council  
 Hours per week: 0  
 Hours during trading: 0  
 Attend monthly council meetings and vote on issues affecting the Diocese of San Jose.



## 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
Criminal	1
Customer Dispute	3

### 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	MUNICIPAL COURT OF CALIFORNIA, SANTA CLARA COUNTY JUDICIAL DISTRICT C-98-72344
<b>Charge Date:</b>	12/19/1997
<b>Charge Details:</b>	ON MAY 21, 1998 MR. DUFFY PLEADED GUILTY TO ONE COUNT UNDER CALIFORNIA VEHICLE CODE 23153, "CAUSING BODILY INJURY WHILE DRIVING UNDER THE INFLUENCE". THE CHARGE WAS TREATED AS A FELONY UNDER CALIFORNIA LAW. MR. DUFFY, AT THIS TIME, IS OUT ON BOND AND IS SCHEDULED TO APPEAR IN SUPERIOR COURT ON JUNE 26, 1998 FOR SENTENCING. THE EVENT THAT WAS THE SUBJECT OF THE GUILTY PLEA OCCURRED ON DECEMBER 19, 1997.
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/21/1998
<b>Disposition Details:</b>	ON NOVEMBER 1, 2001, THE SUPERIOR COURT OF CALIFORNIA, COUNTY OF SANTA CLARA ISSUED AN ORDER FINDING THAT MR. DUFFY HAD SATISFIED ALL THE TERMS AND CONDITIONS OF THE SENTENCE OF THE COURT ENTERED ON OR ABOUT MAY 21, 1998 AS A RESULT OF MR. DUFFY ENTERING A PLEA OF NO CONTEST TO A SINGLE COUNT OF VIOLATION OF PENAL CODE SS23152(A) PURSUANT TO A PLEA ARRANGEMENT. THE COURT FURTHER "ORDERED THAT THE PLEA, VERDICT OR FINDING OF GUILT IN THE ACTION TO BE SET ASIDE AND VACATED AND A PLEA OF NOT GUILTY BE ENTERED; AND THAT THE COMPLAINT BE, AND IS HEREBY DISMISSED.
<b>Broker Statement</b>	PER NYSE LETTER DATED JUNE 17, 2002: BASED ON THE FACT THAT MR. DUFFY'S CONVICTION HAS BEEN REDUCED TO A MISDEMEANOR, PURSUANT TO SECTION 17 OF THE CALIFORNIA PENAL CODE, THE



EXCHANGE HAS DETERMINED THAT HE IS NO LONGER SUBJECT TO A STATUTORY DISQUALIFICATION.



## 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	THE CLIENT ALLEGES THE FINANCIAL ADVISOR PROVIDED POOR ADVICE REGARDING THE ROLLOVER OF TWO SEPARATE IRA DISTRIBUTIONS WITHIN A TWELVE MONTH PERIOD, WHICH HAS LED TO UNEXPECTED TAX CONSEQUENCES.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$20,900.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/23/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	12/31/2014
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	FOLLOWING THE FIRM'S INVESTIGATION INTO THE CLIENT'S ALLEGATIONS, THE COMPLAINT WAS RESOLVED WITH NO COMPENSATION TO THE CLIENT.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	THE CLIENT STATED THAT SHE PROVIDED THE FA WITH SPECIFIC INSTRUCTIONS ON THIS ACCOUNT AND TO CONTACT HER CPA IF CHANGES NEEDED TO BE MADE TO HER INVESTMENTS. THE FA MADE NO CHANGES TO HER INVESTMENTS DURING THE PAST YEAR AND THE CLIENT ALLEGED THAT SHE LOST APPROXIMATELY \$110,000.00.



**Product Type:** Mutual Fund(s)  
**Other Product Type(s):** VARIOUS BONDS  
**Alleged Damages:** \$110,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/19/2008  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 04/08/2008

**Settlement Amount:**

**Individual Contribution Amount:**

#### Broker Statement

THE FA ADVISED THAT THIS ACCOUNT TRANSFERRED INTO HIS BRANCH OFFICE IN MARCH 2007. HE HAD SCHEDULED SEVERAL APPOINTMENTS WITH THIS CLIENT, BUT EACH WAS CANCELLED BY THE CLIENT WITHOUT RESCHEDULING. SINCE THE FA HAD NEVER MET THE CLIENT TO REVIEW HER PORTFOLIO AND WAS UNAWARE OF HER RISK TOLERANCE, HE WAS UNABLE TO MAKE ANY INVESTMENT RECOMMENDATIONS.

### Disclosure 3 of 3

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

**Allegations:** CLIENT CLAIMS THE 10,000 SHARES OF ASYST STOCK SOLD WAS UNAUTHORIZED AND THE TRADES PURCHASED WITH THE SELL PROCEEDS WERE NOT AUTHORIZED. CLIENT WANTS THE 10,000 SHARES OF ASYST STOCK PUT BACK IN ACCOUNT ALONG WITH THE MUTUAL FUND BUYS CANCELLED. LOSSES EXCEED \$5,000.00

**Product Type:** Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 06/05/2003  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 09/11/2003

**Settlement Amount:** \$14,353.84

**Individual Contribution Amount:** \$13,535.70

#### Broker Statement

UPON FURTHER INVESTIGATION, IT WAS FOUND THAT THE SALE OF 10,000 SHARES OF ASYT ON APRIL 11 AND 17, 2003, TOOK PLACE WITHOUT THE EXPRESS CONSENT OF THE CLIENT. THE FIRM OFFERED A SETTLEMENT TO THE CLIENT IN THE AMOUNT OF \$14,353.84, WHICH WAS ACCEPTED BY THE CLIENT PER A SIGNED SETTLEMENT OFFER DATED 09/08/03 AND RECEIVED BY THE FIRM 09/11/03. A CHECK WAS REQUESTED TO THE



CLIENT FOR THIS AMOUNT ON 9/11/03. CLAIM SETTLED.



## End of Report

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