



IAPD Report

Olen Joseph Suire

CRD# 2311697

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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

Olen Joseph Suire (CRD# 2311697)

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 **03/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/14/1993
IA	EDWARD JONES	CRD# 250	02/07/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **13** 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
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 **13** 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	01/14/1993
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	01/25/1993
B Alabama	Agent	Approved	02/07/1997
B California	Agent	Approved	03/16/2006
B Colorado	Agent	Approved	07/21/2011
B Florida	Agent	Approved	02/19/1998
B Georgia	Agent	Approved	03/04/1993
IA Georgia	Investment Adviser Representative	Approved	02/07/2007
B Louisiana	Agent	Approved	07/09/1993
B Minnesota	Agent	Approved	01/25/2016
B Mississippi	Agent	Approved	01/11/2001



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	08/21/2007
B North Carolina	Agent	Approved	03/20/2006
B South Carolina	Agent	Approved	03/17/2006
B Tennessee	Agent	Approved	03/17/2006
B Texas	Agent	Approved	09/25/1998
IA Texas	Investment Adviser Representative	Restricted Approval	01/11/2019

Branch Office Locations

EDWARD JONES
ONE SOUTH GILMER STREET
CARTERSVILLE, GA 30120



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	01/11/1993
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/29/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/11/1993
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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
09/1992 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SPRINGFIELD, 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.

RENTAL PROPERTY, CARTERSVILLE, GA, STARTED 03/01/1985
OWNER

olen j suire
Type of business: office building
cartersville, GA
Start date: 1/2/1996
Office building rental
Hours per week: 1
Hours during trading: 1
Maintain property

olen j suire
Type of business: office building
Cartersville, GA
Start date: 1/2/1996
Office building rental
Hours per week: 5
Hours during trading: 1
No Responsibilities



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	3

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

Reporting Source: Individual

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

Allegations: THE CLIENT STATES THAT IN 1999 SHE INVESTED \$409,000 WITH EDWARD JONES. SHE STATES THAT THE IR TOLD HER THE FUNDS WERE GOING INTO MUTUAL FUNDS WHICH WERE SAFE. THE CLIENT STATES THAT IN 2004 SHE FOUND OUT THAT THE FEDERATED FUNDS SHE INVESTED IN WERE AGGRESSIVE FUNDS. SHE STATED THAT SHE WAS LOSING MONEY EACH MONTH AND ASKED THE IR TO MOVE THE FUNDS INTO SOMETHING ELSE AND STATES THE IR TOLD HIM SHE WAS OVERREACTING AND IT WOULD COME BACK. THE CLIENT STATES THAT AFTER HER INVESTMENTS HAD DECREASED IN VALUE TO \$150,000 IN 2003 SHE INSTRUCTED THE IR TO MOVE THE FUNDS INTO A BOND. THE CLIENT THEN CHANGED IR'S AND CLAIMS SHE WAS TOLD BY THE NEW IR THAT IF SHE WOULD SIGN A LETTER OF INTENT THE IR WOULD NOT GET PAID A COMMISSION. THE CLIENT STATES THAT SHE DID NOT KNOW THE LOI EXPIRED IN 13 MONTHS AND THE COMMISSION STARTED COMING OUT. THE CLIENT ALSO STATES THAT MORE OF HER MUTUAL FUNDS ARE BEING SOLD THAN WHAT SHE IS "PULLING" AND THE STATEMENTS ARE NOT REFLECTING ANY REINVESTMENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/27/2006

Complaint Pending? No



Status: Denied
Status Date: 04/26/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE IR STATED THAT THE CLIENT HAD A 401K ROLLOVER FROM HER EMPLOYER. THE CLIENT INDICATED THAT SHE WOULD NEED MONTHLY INCOME FROM HER INVESTMENTS IN THE AMOUNT OF \$3,500. THE IR EXPLAINED TO THE CLIENT THAT SHE WOULD NEED TO INVEST IN MORE AGGRESSIVE FUNDS IF SHE NEEDED THIS AMOUNT OF INCOME. THE CLIENT AGREED AND THE IR RECOMMENDED SEVERAL FEDERATED FUNDS. A 72T DISTRIBUTION IN THE AMOUNT OF \$3500 WAS SET UP. THE CLIENT RECEIVED PROSPECTUSES DETAILING THE OBJECTIVES OF THE FUNDS AND STATEMENTS REFLECTING THE OBJECTIVES SINCE OWNERSHIP IN 1999.

THE CLIENT STATES SHE WAS UNAWARE THAT A LOI TO PURCHASE MUTUAL FUND SHARES WOULD EXPIRE. IT WAS EXPLAINED TO THE CLIENT THAT THIS WOULD HAVE BEEN DISCLOSED AT THE TIME THE LOI WAS EXECUTED. THE CLIENT WAS ALSO CONCERNED ABOUT THE SYSTEMATIC WITHDRAWALS THAT ARE SET UP ON HER ACCOUNT. THE CURRENT IR HAS AN APPOINTMENT TO DISCUSS THE CLIENTS CONCERNS REGARDING THE WITHDRAWALS WITHIN THE NEXT COUPLE OF WEEKS. IT APPEARS AS THOUGH THE RECOMMENDATIONS WERE IN LINE WITH THE CLIENTS OBJECTIVES AS STATED AT THE TIME AND THE CLIENT WAS PROVIDED WITH DOCUMENTATION REFLECTING THE OBJECTIVES. CLAIM DENIED

Disclosure 2 of 3

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

Allegations: THE CLIENT ALLEGED THAT SHE WAS MISLED ON THE GUARANTEED DEATH BENEFIT ASSOCIATED WITH THIS ANNUITY PURCHASED IN 1998. SHE FELT THAT THE HIGHEST LEVEL ATTAINED ON THE ANNIVERSARY DATE WAS A "FLOOR" AND NOT ASSOCIATED WITH THE DEATH BENEFIT. THE CLIENT FELT THAT THE DEATH BENEFIT WAS HARDLY MENTIONED DURING THE PRESENTATION. THE CLIENT ALSO ALLEGED THAT SHE WAS NOT ADVISED OF THE COST OF THE INSURANCE BENEFITS ASSOCIATED WITH THIS CONTRACT. THE CLIENT CLAIMED THIS EXPENSE AMOUNTED TO APPROX. \$40,000.00 OVER THE PAST SEVEN YEARS. THE CLIENT HAS NOW LIQUIDATED THE ANNUITY (IRA) AND PURCHASED MUTUAL FUNDS THROUGH ANOTHER JONES' IR AT THE \$500,000.00 BREAKPOINT. THE CLIENT LEFT \$3000.00 IN THE ANNUITY TO MAINTAIN A DEATH BENEFIT OF APPROX. \$150,000.00. THE CLIENT WANTS TO BE REIMBURSED FOR HER "TRANSFER FEE", WHICH I WAS LED TO BELIEVE IS THE COMMISSION ASSOCIATED WITH THE PURCHASE OF THE LORD ABBETT MUTUAL FUNDS IN HER IRA ACCOUNT.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$7,500.00

Customer Complaint Information



Date Complaint Received: 10/03/2005

Complaint Pending? No

Status: Denied

Status Date: 10/10/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE IR ADVISED THAT HE DID NOT RECALL THE SPECIFIC CONVERSATION WITH THIS CLIENT SEVEN YEARS, BUT HE DID ADVISE THAT WHENEVER HE SELLS AN ANNUITY THE DEATH BENEFIT IS ALWAYS DISCUSSED. THE CLIENT INITIALLY PURCHASED \$500,000.00 OF THE HARTFORD PCM ANNUITY FROM THIS OFFICE AND WHEN SHE TRANSFERRED TO ANOTHER EDWARD JONES' OFFICE IN 2000, THE VALUE WAS APPROXIMATELY \$648,000.00. THE IR ADVISED THAT THE SURRENDER VALUE AND DEATH BENEFIT WERE DISCLOSED ON EACH HARTFORD STATEMENT AND EACH OF THE EDWARD JONES' STATEMENTS DURING THE PAST SEVEN YEARS. SINCE THE DEATH BENEFIT INFORMATION AND THE EXPENSES OF THE ANNUITY WERE ALL DETAILED IN THE CONTRACT, THE CLIENT'S REQUEST FOR REIMBURSEMENT OF THE COMMISSIONS TO PURCHASE MUTUAL FUNDS WAS DENIED.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: THE CLIENT WAS DISAPPOINTED WITH THE PERFORMANCE OF HIS MUTUAL FUNDS DURING THE PAST TWO YEARS, AND ELECTED TO LIQUIDATE HIS INVESTMENTS AND TRANSFER BACK TO THE BANK. THE CLIENT ALSO ALLEGED THAT HIS IR STATED THAT EDWARD JONES HAD NEVER PAID OUT LESS THAN 10% IN DIVIDENDS DURING THE PAST 15 YEARS AND THAT THE CLIENT WOULD BE ABLE TO WITHDRAW 10% EACH MONTH FOR LIVING EXPENSES. THE CLIENT WAS TAKING A SYSTEMATIC WITHDRAWAL FROM SEVERAL OF THE MUTUAL FUNDS HELD IN HIS IRA ACCOUNT.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2002

Complaint Pending? No

Status: Denied

Status Date: 06/04/2002

Settlement Amount:

Individual Contribution Amount:



Broker Statement

THE IR REFERENCED HISTORICAL PERFORMANCES OF THESE FUNDS WHEN HE SPOKE TO THE CLIENT ABOUT POSSIBILITY OF EARNING 10%. HE NEVER GUARANTEED THAT PERCENTAGE RETURN. MR. SUIRE ALSO DID NOT TELL CUSTOMER THAT THIS FUND WOULD TRIPLE IN VALUE. THE CLIENT'S COMPLAINT WAS DENIED.



End of Report

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