



IAPD Report

JERROLD STEVEN BERGNER

CRD# 2402897

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

JERROLD STEVEN BERGNER (CRD# 2402897)

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 **03/25/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	03/21/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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 SCF INVESTMENT ADVISORS, INC.	123608	DURHAM, NC	10/26/2015 - 03/21/2025
B SCF SECURITIES, INC.	47275	Durham, NC	10/23/2015 - 03/21/2025
IA EDWARD JONES	250	CHAPEL HILL, NC	01/02/2008 - 09/29/2015

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	1
Termination	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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LASALLE ST. INVESTMENT ADVISORS, L.L.C.**
Main Address: 940 N. INDUSTRIAL DR.
ELMHURST, IL 60126-1131
Firm ID#: 109701

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	03/25/2025
	Missouri	Investment Adviser Representative	Approved	03/25/2025
	New York	Investment Adviser Representative	Approved	03/21/2025
	North Carolina	Investment Adviser Representative	Approved	03/21/2025

Branch Office Locations

LASALLE ST. INVESTMENT ADVISORS, L.L.C.
5850 Fayetteville Rd
Ste 205
Durham, NC 27713



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, 3 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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Futures Managed Funds Examination (S31)	Series 31	09/16/1998
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General Securities Representative Examination (S7)	Series 7	11/10/1993
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/20/2007
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/1994
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/11/1993
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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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/26/2015 - 03/21/2025	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	DURHAM, NC
B	10/23/2015 - 03/21/2025	SCF SECURITIES, INC.	CRD# 47275	Durham, NC
IA	01/02/2008 - 09/29/2015	EDWARD JONES	CRD# 250	CHAPEL HILL, NC
B	07/14/2000 - 09/29/2015	EDWARD JONES	CRD# 250	CHAPEL HILL, NC
B	10/01/1999 - 07/19/2000	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	11/11/1993 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC

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
10/2015 - Present	SCF INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	FRESNO, CA, United States
10/2015 - Present	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, 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.

INTERAGED LIFE & FINANCIAL PLANNING - FINANCIAL PLANNER- FINANCIAL ADVISING & INVESTMENT MANAGEMENT PRACTICE;

INTEGRATED LIFE & FINANCIAL PLANNING, LLC- SALES & SERVICING OF INSURANCE PRODUCTS TO CLIENTS

FAMILY TRUSTEE & GUARDIAN - NON INVESTMENT RELATED - NOT DURING TRADING HOURS - START 10/2021 -

TRUSTEE & GUARDIAN FOR BROTHER WHO IS NOT ABLE TO CARE FOR HIMSELF OR HANDLE HIS OWN AFFAIRS;



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	1
Termination	1

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: EDWARD JONES

Allegations: CLIENTS ARE ALLEGING LOSSES IN EXCESS OF \$18,000 DUE TO IR'S LACK OF ATTENTION TO THE ACCOUNT. CLIENTS STATE THEY INVESTED WITH IR IN APRIL 2000 WHEN IR WAS AT PREVIOUS FIRM. WHEN IR CAME TO EDJ IN AUGUST 2000, CLIENTS TRANSFERRED THEIR ACCOUNT TO EDJ. CLIENTS STATE THEY DID NOT MEET WITH IR UNTIL MARCH 2003, AND DISCOVERED THE LOSSES AT THAT TIME.

Product Type: Other

Alleged Damages: \$18,000.00

Customer Complaint Information

Date Complaint Received: 02/20/2004

Complaint Pending? No

Status: Denied

Status Date: 04/07/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR INDICATED HE RECOMMENDED THE PURCHASE OF MUTUAL FUNDS IN



LIEU OF INDIVIDUAL STOCKS AND STATED HE RECOMMENDED A DIVERSE ALLOCATION, AS WELL AS INFORMING THE CLIENT THAT SOME AREAS WOULD PERFORM WELL WHILE OTHERS MAY NOT. IR STATED DURING A REVIEW OF THE ACCOUNT THAT THE CLIENT INQUIRED ABOUT BOND FUNDS AND THEIR PERFORMANCE. IR ALSO STATED THE CLIENTS WERE CURRENTLY IN STOCK FUNDS, AND IN DISCUSSING THE BOND FUND, IR'S APPLES AND ORANGES ANALOGY WAS USED. IT IS MY UNDERSTANDING THE MUTUAL FUNDS THAT TRANSFERRED IN FROM WHEATFIRST WERE NO-LOAD FUNDS WHICH COULD NOT HAVE BEEN PURCHASED IN CLIENTS' ACCOUNT AT EDWARD JONES. IR STATED HE INFORMED THE CLIENTS OF SUCH, AND THEY AGREED TO THE REALLOCATION OF ASSETS. BASED UPON OUR RESEARCH, IT DOES NOT APPEAR THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT WERE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: Edward Jones
Termination Type: Discharged
Termination Date: 09/03/2015
Allegations: Violated Firm's policies regarding (1) storage of client documents and information (2) use of electronic mail; and (3) prohibition on conducting disclosed outside business activities in the branch office.
Product Type: No Product

Reporting Source: Individual
Firm Name: EDWARD JONES
Termination Type: Discharged
Termination Date: 09/03/2015
Allegations: VIOLATED FIRM'S POLICIES REGARDING (1) STORAGE OF CLIENT DOCUMENTS AND INFORMATION; (2) USE OF ELECTRONIC MAIL; AND (3) PROHIBITION ON CONDUCTING DISCLOSED OUTSIDE BUSINESS ACTIVITIES IN THE BRANCH OFFICE
Product Type: No Product

Broker Statement
Regarding the storage of client documents and information, I was storing client planning information and documents that were provided to me by the clients in my personal, web-based storage areas that only I had access to. The clients found it convenient to provide documents and information in this way.

Regarding the use of electronic mail, I used my personal electronic mail system to send post-meeting notes to clients. These notes were brief summaries of our discussions at meetings for both of our records. The purpose was to give both myself and the client a "to-do" list of actions we had completed or agreed to complete before the next meeting.

Regarding the prohibition on conducting disclosed outside business activities, I was engaged in a disclosed outside business activity, teaching a life-coaching class. Once per quarter I had my assistant assemble about 6-8 class workbooks in the branch. I stored the empty binders and divider tabs in the branch as well. My assistant also kept track of the class dates (again about 1 day per quarter) in our Edward Jones calendar so that we would not double book these dates.



End of Report

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