



## IAPD Report

# Christopher J Bruntz

CRD# 2414663

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

### Christopher J Bruntz (CRD# 2414663)

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 **12/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	09/21/1994
<b>IA</b>	EDWARD JONES	CRD# 250	06/18/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **28** 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
------	------	----------	--------------------

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	2



## 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 **28** 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	09/21/1994
<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	09/21/1994
<b>B</b> Arizona	Agent	Approved	12/14/1999
<b>B</b> California	Agent	Approved	06/05/1997
<b>B</b> Colorado	Agent	Approved	01/14/2005
<b>B</b> Connecticut	Agent	Approved	04/25/2012
<b>B</b> Florida	Agent	Approved	11/11/2021
<b>B</b> Georgia	Agent	Approved	11/15/2023
<b>B</b> Hawaii	Agent	Approved	08/26/2015
<b>B</b> Idaho	Agent	Approved	04/18/2002
<b>B</b> Illinois	Agent	Approved	11/10/2023



### Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	07/14/2014
B Michigan	Agent	Approved	11/15/2023
B Minnesota	Agent	Approved	04/29/2008
B Montana	Agent	Approved	06/08/2023
B Nebraska	Agent	Approved	11/09/2023
B Nevada	Agent	Approved	07/06/2012
B New Hampshire	Agent	Approved	11/12/2024
B New Mexico	Agent	Approved	11/15/2023
B New York	Agent	Approved	04/05/2018
B Ohio	Agent	Approved	07/26/2018
B Oregon	Agent	Approved	09/24/2001
B Pennsylvania	Agent	Approved	07/02/2025
B Puerto Rico	Agent	Approved	03/20/2018
B South Carolina	Agent	Approved	10/17/2025
B Tennessee	Agent	Approved	07/18/2024
B Texas	Agent	Approved	08/15/2008
IA Texas	Investment Adviser Representative	Restricted Approval	08/20/2014
B Virginia	Agent	Approved	11/10/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	11/07/1994
<b>IA</b> Washington	Investment Adviser Representative	Approved	06/18/2007
<b>B</b> Wisconsin	Agent	Approved	08/08/2012

### Branch Office Locations

**EDWARD JONES**  
111 MAIN AVE SOUTH  
NORTH BEND, WA 98045

**EDWARD JONES**  
SNOQUALMIE, WA



## 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
------	----------	------

No information reported.

#### General Industry/Product Exams



Exam	Category	Date
------	----------	------


 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	09/20/1994
--	----------	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

  Uniform Combined State Law Examination (S66)	Series 66	06/15/2007
---	-----------	------------

 Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1994
--	-----------	------------

### 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
10/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	NORTH BEND, WA, United States
10/1993 - Present	EDWARD D. JONES & CO	OTHER - (BOS)	N	RENTON, WA, 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.

Soul Free, LLC  
 Type of business: LLC  
 Snoqualmie, WA  
 Start date: 11/21/2021  
 Agent  
 Hours per week: 0  
 Hours during trading: 0  
 Monitoring account and filing for annual renewal



## 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	2

### 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 2

**Reporting Source:** Individual

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

**Allegations:** THE CLIENT STATES HE PURCHASED A HARTFORD DIRECTOR VII VARIABLE ANNUITY ON 1/14/00 AND ON 6/19/00 DIRECTED THE IR, CHRISTOPHER BRUNTZ, TO PLACE ADDITIONAL FUNDS FROM A FIXED ANNUITY INTO THE SAME COMPANY AND SAME VARIABLE ANNUITY. THE CLIENT HAS SINCE LEARNED THE FUNDS ON 6/19/00 WERE PLACED IN A PUTNAM CAPITAL MANAGER VI WHICH IS INVESTED MORE AGGRESSIVELY. CLIENT CLAIMS HE WOULD NOT HAVE KNOWINGLY INVESTED AGGRESSIVELY. CLIENT CLAIMS THIS WAS NOT HIS INSTRUCTIONS TO THE IR AND AS A RESULT WOULD END UP LOSING 50% OR MORE TO GET OUT OF THIS ANNUITY. CLAIM EXCEEDS \$5,000

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

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

### Customer Complaint Information

**Date Complaint Received:** 11/15/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/09/2002

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

IR STATED HE DISCUSSED THE NEED FOR THE CLIENT TO OWN MORE GROWTH ORIENTED INVESTMENTS. IR STATED HE ADVISED THE CLIENT TO PURCHASE THE HARTFORD PUTNAM CAP. MANAGER ANNUITY INSTEAD OF ADDING THE HARTFORD DIRECTOR ANNUITY TO FURTHER DIVERSIFY THE CLIENT. THE SUGGESTION WAS ALSO BASED ON THE CLIENT INDICATING HE DID NOT WISH TO ACCESS THESE FUNDS AND THAT THIS GROWTH/AGGRESSIVE GROWTH INVESTMENT WOULD MAKE UP A SMALL PERCENTAGE OF THE CLIENT'S TOTAL NET WORTH. CLIENT AGREED TO THE PURCHASE. IR STATED HE DISCUSSED ALL OF THE FEATURES OF THE ANNUITY INCLUDING SURRENDER FEES. THE CLIENT RECEIVED THE ANNUITY CONTRACT ON 6/28/00 AS INDICATED BY THE CLIENT'S SIGNATURE ON THE ANNUITY DELIVERY RECEIPT FORM. THE ANNUITY PURCHASE WAS REFLECTED ON THE CUSTOMER ACCOUNT STATEMENT AS OF JUNE, 2000 AND THE STATEMENT ALSO REFLECTS OUR ASSET CATEGORIES. WE BELIEVE THE CLIENT WAS AWARE OF THE ANNUITY PURCHASE AND AUTHORIZED THE SAME. CLAIM DENIED.

**Disclosure 2 of 2****Reporting Source:**

Individual

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

EDWARD JONES

**Allegations:**

CLIENT TRANSFERRED ACCOUNT TO EDJ ON MARCH 5, 2001. CLIENT STATES HE WAS COERCED BY IR TO EFFECTUATE THE TRANSACTION OF APRIL 3, 2001 AND REQUESTS REINSTATEMENT OF THE LIQUIDATED POSITIONS. THE CLIENT STATES HE LOST POTENTIAL GAINS OF APPROXIMATELY \$20,000 HAD HE NOT FOLLOWED BRUNTZ RECOMMENDATIONS.

**Product Type:**

Other

**Alleged Damages:**

\$20,000.00

**Customer Complaint Information****Date Complaint Received:** 04/27/2001**Complaint Pending?** No**Status:** Settled**Status Date:** 06/08/2001**Settlement Amount:** \$50.00**Individual Contribution Amount:** \$0.00



**Broker Statement**

BRUNTZ RESPONDED THAT THE CLIENT WANTED TO BECOME MORE CONSERVATIVE WITH THE INVESTMENTS IN THE ACCOUNT AND HAD CONTINUED TO EXPRESS CONCERN REGARDING THE PERFORMANCE OF THE STOCKS WHICH HAD TRANSFERRED INTO THE ACCOUNT. CLIENT APPEARS TO HAVE CONSENTED TO THE APRIL 3 TRANSACTIONS WITHOUT COERCION. OFFER EXTENDED TO CLIENT TO RESCIND THE TRANSACTIONS EFFECTED APRIL 23 AS BRUNTZ FAILED TO ENTER THESE TRADES ON APRIL 3. COMMISSIONS (\$50.00) CANCELLED ON THE AVAYA LIQUIDATION. RESCISSION OFFER HAS NOT BEEN ACCEPTED AT THE TIME OF FILING.



## End of Report

This page is intentionally left blank.