



IAPD Report

Scott R Bowman

CRD# 2414668

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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

Scott R Bowman (CRD# 2414668)

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 **04/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	08/23/1994
IA	EDWARD JONES	CRD# 250	03/02/2011

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **21** 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	4



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 **21** 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	08/23/1994
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	08/29/2011
B	Arizona	Agent	Approved	09/14/2011
B	Arkansas	Agent	Approved	03/26/2012
B	California	Agent	Approved	09/14/2011
B	Colorado	Agent	Approved	09/14/2011
B	Florida	Agent	Approved	09/14/2011
B	Georgia	Agent	Approved	12/15/2021
B	Illinois	Agent	Approved	08/29/2011
IA	Illinois	Investment Adviser Representative	Approved	08/29/2011
B	Indiana	Agent	Approved	09/14/2011



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	09/14/2011
B Minnesota	Agent	Approved	09/14/2011
B Nebraska	Agent	Approved	06/13/2012
B Nevada	Agent	Approved	10/31/2022
B New Jersey	Agent	Approved	09/14/2011
B New York	Agent	Approved	10/10/2011
B North Carolina	Agent	Approved	09/15/2011
B Ohio	Agent	Approved	09/15/2011
B Pennsylvania	Agent	Approved	08/25/2015
B South Carolina	Agent	Approved	01/24/2025
B Tennessee	Agent	Approved	05/30/2024
B Texas	Agent	Approved	07/05/2012
IA Texas	Investment Adviser Representative	Restricted Approval	12/20/2018
B Wisconsin	Agent	Approved	09/14/2011

Branch Office Locations

EDWARD JONES
930 N YORK RD SUITE 214
HINSDALE, IL 60521



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	08/22/1994
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/01/2011
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/24/1994
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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
10/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	BEAVER DAM, WI, 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.

Wild Card Racing, LLC
 Type of business: Manage Property
 Joliet, IL
 Start date: 2/18/2020
 Member
 Hours per week: 0
 Hours during trading: 0
 LLC is set up to purchase shares in a garage at the Autobahn Country Club. It simply permits usage of the garage.



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	4

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 4

Reporting Source: Individual

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

Allegations: CLIENT STATES WHEN HE PURCHASED SHARES OF CONSECO PFD 8.70% IN 2001, IR DID NOT DISCLOSE THE INVESTMENT WAS "HIGH RISK." CLIENT CLAIMS HAD HE BEEN AWARE OF THE RISKS, CLIENT WOULDN'T HAVE PURCHASED THE INVESTMENT. CLIENT ALLEGES IN DECEMBER 2001, HE WANTED TO SELL AND IR ADVISED HIM TO CONTINUE HOLDING. CLIENT STATES, IN JANUARY 2002, IR SENT HIM INFORMATION REGARDING THE COMPANY. CLIENT ALLEGES HE CONTACTED IR AGAIN IN FEBRUARY 2002, STATING HE WANTED TO SELL AND HE WAS AGAIN ADVISED BY THE IR TO CONTINUE HOLDING THE INVESTMENT. CLIENT INDICATES THE HOLDINGS IN CONSECO ARE NOW WORTH APPROXIMATELY \$167. LOSS EXCEEDS \$5,000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 11/05/2003

Complaint Pending? No

Status: Denied

Status Date: 11/19/2003

Settlement Amount:

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

ACCORDING TO OUR RECORDS, 475 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE ACCOUNT ON JUNE 6, 2001. ALTHOUGH IR STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION AT THE TIME OF PURCHASE, IR INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED THE CLIENT HAS PREVIOUSLY PURCHASED EQUITY INVESTMENTS AND, AS SUCH, IT WOULD APPEAR THE CLIENT IS AWARE OF THE RISKS OF MARKET FLUCTUATION. IR FURTHER STATED, WHEN QUESTIONED REGARDING THE DECLINE IN THE VALUE, IR WOULD HAVE MOST LIKELY ADVISED THE CLIENT TO CONTINUE HOLDING THE SHARES. HOWEVER, IR ALSO STATED, HAD HE RECEIVED INSTRUCTIONS FROM THE CLIENT TO SELL THE SHARES, IR WOULD HAVE ACTED ACCORDINGLY. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION AND SINCE THE PURCHASE THE CLIENT HAS RECEIVED STATEMENTS. BASED ON OUR REVIEW, IT IS OUR OPINION IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH OWNING THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. FURTHERMORE, IT DOES NOT APPEAR THE PURCHASE WAS OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.

Disclosure 2 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT STATES IR PURCHASED SHARES OF "CONSECO FUND" WHEN THE INVESTMENT WAS DECLINING IN VALUE. CLIENT STATES HE NEVER RECEIVED A PROSPECTUS AND IR TOLD HIM NOTHING REGARDING THE INVESTMENT EXCEPT THAT "IT'S SUPPOSED TO BE GOOD." CLIENT CLAIMS HE ATTEMPTED TO CONTACT IR SEVERAL TIMES TO MAKE CHANGES BUT IR WAS ALWAYS IN MEETINGS. HOWEVER, CLIENT CLAIMS THAT BEFORE IR LEFT THE OFFICE, IR INFORMED THE CLIENT "EVERYTHING WOULD WORK OUT." LOSSES IN EXCEES OF \$5,000.

Product Type:

Equity - OTC

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:** 11/07/2003**Complaint Pending?** No**Status:** Denied**Status Date:** 11/19/2003**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

ACCORDING TO OUR RECORDS, 550 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE CLIENT'S ACCOUNT ON JANUARY 18, 2001. ALTHOUGH IR STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION WITH THE CLIENT AT THE TIME OF PURCHASE, IR



INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED THE CLIENT HAS PREVIOUSLY PURCHASED EQUITY INVESTMENTS AND, AS SUCH, IT WOULD APPEAR THE CLIENT IS AWARE OF THE RISKS OF MARKET FLUCTUATION. IR ALSO STATED, WHEN QUESTIONED REGARDING THE DECLINE IN THE VALUE, IR WOULD HAVE MOST LIKELY ADVISED THE CLIENT TO CONTINUE HOLDING THE SHARES. HOWEVER, IR ALSO STATED, HAD HE RECEIVED INSTRUCTIONS FROM THE CLIENT TO SELL THE SHARES, IR WOULD HAVE ACTED ACCORDINGLY. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION AND SINCE THE PURCHASE THE CLIENT HAS RECEIVED STATEMENTS. BASED ON OUR REVIEW, IT IS OUR OPINION IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. FURTHERMORE, IT DOES NOT APPEAR THE PURCHASE WAS OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.

Disclosure 3 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT STATES HE TRANSFERRED HIS ACCOUNT FROM ANOTHER FIRM TO EDWARD JONES AND INFORMED IR THAT HE DID NOT WANT TO ASSUME ANY RISK WITH INVESTMENTS PURCHASED IN THE ACCOUNT. CLIENT ALLEGES HE PURCHASED SHARES OF CONSECO IN MAY 2002 AND THAT IR FAILED TO ADVISE HIM OF THE RISKS ASSOCIATED WITH OWNING THE STOCK. CLIENT FURTHER STATES THE STOCK HAS STEADILY DECLINED SINCE IT WAS PURCHASED AND, WHEN HE CONTACTED IR, HE WAS INFORMED HE SHOULDN'T WORRY ABOUT THE DECLINE. CLIENT DOES NOT MAKE A SPECIFIC CLAIM; HOWEVER, LOSS IS GREATER THAN \$5,000.

Product Type:

Equity - OTC

Alleged Damages:

\$5,000.00

Customer Complaint Information

Date Complaint Received:

10/01/2003

Complaint Pending?

No

Status:

Denied

Status Date:

10/17/2003

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

ACCORDING TO OUR RECORDS, 500 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE ACCOUNT ON JUNE 4, 2001. ALTHOUGH IR HAS STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION WITH THE CLIENT AT THE TIME OF PURCHASE, IR INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED HE MOST LIKELY WOULD HAVE INFORMED THE CLIENT THE INVESTMENT WAS SPECULATIVE AND, AS



SUCH, WOULD NOT SUGGEST INVESTING A SUBSTANTIAL PORTION OF CLIENT'S NET WORTH. ACCORDING TO OUR RECORDS, THE PURCHASE REPRESENTED APPROXIMATELY 4% OF THE CLIENT'S STATED NET WORTH. IT IS UNDERSTOOD THE CLIENT WAS MADE AWARE OF THE OPTIONS AVAILABLE TO HIM WHEN THE COMPANY BEGAN TO DETERIORATE AND CLIENT MADE THE DECISION TO CONTINUE HOLDING THE INVESTMENT. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION WHICH PROVIDED INFORMATION REGARDING THE TRANSACTION. SINCE THE PURCHASE, THE CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN CLIENT'S ACCOUNT (INCLUDING ASSET CATEGORY) AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, IT IS OUR OPINION THE IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH OWNING THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. CLAIM DENIED.

Disclosure 4 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT WAS POA FOR THE ACCOUNT AT THE TIME THEY PURCHASED THE \$30,000 FNMA IN 10/93, \$20,000 ALABAMA PWR IN 9/98 AND \$65,000 RESIDENTIAL MTG IN 12/98. THE CLIENT STATES THEY WERE NOT INFORMED OF RESTRICTIONS ON WITHDRAWAL, PAYMENT AT MARKET VALUE, ESTATE REDEMPTION WAITING LIST AND LIMITED MAXIMUM BOND WITHDRAWAL AMOUNT. THE CLIENT STATES HAD THEY BEEN INFORMED OF THESE FEATURES, THEY WOULD NOT HAVE PURCHASED THE INVESTMENTS.

Product Type:

Debt - Government

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

02/09/2000

Complaint Pending?

No

Status:

Denied

Status Date:

04/24/2000

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

THE CUSTOMER WAS ADVISED THAT MR. BOWMAN DID NOT RECALL THE SPECIFIC CONVERSATIONS HE HAD WITH THE CUSTOMER, BUT THAT IT IS AND WAS HIS PRACTICE TO EXPLAIN ALL THE RESTRICTIONS AND LIMITATIONS ON ANY ESTATE FEATURE THAT IS ATTACHED TO A BOND HE SELLS. THE EXPLANATION WOULD HAVE INCLUDED A DESCRIPTION OF THE WAITING PERIOD FOR THE ESTATE REDEMPTION FEATURE. MR. BOWMAN HAS BEEN WITH OUR FIRM A NUMBER OF YEARS AND THIS IS THE FIRST CLAIM WE HAVE RECEIVED INDICATING A CUSTOMER DID NOT UNDERSTAND THE LIMITATIONS ON THE ESTATE FEATURE. THE CUSTOMER'S COMPLAINT WAS DENIED AND HE WAS ADVISED HE COULD



EITHER APPLY FOR THE ESTATE FEATURE OR SELL THE BONDS AT THEIR CURRENT MARKET VALUE.



End of Report

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