



IAPD Report

Scott Parker Holder

CRD# 2427353

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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

Scott Parker Holder (CRD# 2427353)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/06/1994
IA	EDWARD JONES	CRD# 250	11/09/2006

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **17** 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 **17** 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	01/06/1994
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	02/28/1994
B Arizona	Agent	Approved	02/01/1996
B California	Agent	Approved	02/10/1994
IA California	Investment Adviser Representative	Approved	11/09/2006
B Colorado	Agent	Approved	07/31/1997
B Florida	Agent	Approved	08/13/2007
B Illinois	Agent	Approved	03/13/2006
B Massachusetts	Agent	Approved	12/13/2023
B Minnesota	Agent	Approved	07/02/2007
B Montana	Agent	Approved	05/04/2022



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	01/29/1996
B New York	Agent	Approved	10/02/2019
B Ohio	Agent	Approved	08/05/2024
B Oregon	Agent	Approved	11/28/2007
B Tennessee	Agent	Approved	09/24/2020
B Texas	Agent	Approved	09/12/2011
IA Texas	Investment Adviser Representative	Restricted Approval	12/07/2018
B Utah	Agent	Approved	09/12/2022
B Virginia	Agent	Approved	05/07/2003
B Washington	Agent	Approved	07/09/1998

Branch Office Locations

EDWARD JONES
170 FARMERS LANE SUITE 4
SANTA ROSA, CA 95405



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	01/05/1994
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/08/2006
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/1994
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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
11/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SANTA ROSA, 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.

Farfalla Aviation
 Type of business: Contract Pilot
 Santa Rosa, CA
 Start date: 8/1/2025
 Pilot
 Hours per week: 10
 Hours during trading: 5
 contract pilot

Oddie Partners
 Type of business: Real Estate Dev
 Reno, NV
 Start date: 1/1/2021
 Member-LLC
 Hours per week: 0
 Hours during trading: 0
 Real Estate development



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: 3/11/09-7/09; CLIENT CLAIMS SHE INFORMED FA WHEN THEY FIRST MET THAT SHE HAD VIRTUALLY A ZERO TOLERANCE FOR RISK AND THAT HER GOALS WERE TO SEEK HIGHER INTEREST THAN CD RATES. CLIENT CLAIMS SHE WAS ADVISED TO PURCHASE A LEHMAN BOND AND NOW BELIEVES SHE SHOULD NOT HAVE BEEN ADVISED TO PUT SUCH A LARGE PORTION OF HER NET WORTH IN ONE INVESTMENT AND THAT THIS WAS NOT APPROPRIATE GIVEN HER CIRCUMSTANCES AND OBJECTIVES. CLAIM EXCEEDS \$5,000

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC repair or civil litigation? No

Customer Complaint Information

Date Complaint Received: 07/07/2009

Complaint Pending? No

Status: Denied

Status Date: 09/23/2009

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

FA STATED, AT THE TIME HE FIRST MET CLIENT IN 1999, SHE OWNED SEVERAL MUTUAL FUNDS OF VARYING RISKS. HE FURTHER INDICATED, ONE OF THE INITIAL INVESTMENTS CLIENT MADE WITH HIM WAS A 30 YEAR RESIDENTIAL MTG SECS CMO WHICH WAS ULTIMATELY CALLED. OVER THE YEARS, FA INDICATED CLIENT CONTINUED TO PURCHASE BOTH CORPORATE BONDS AS WELL AS ADDITIONAL MUTUAL FUNDS. OUR RECORDS INDICATE THE LEHMAN BROTHERS BOND WAS PURCHASED IN THE ACCOUNT IN MARCH 2003. AT TIME OF PURCHASE, FA STATED HE SUGGESTED THE BOND AS PART OF CLIENT'S PORTFOLIO TAKING INTO CONSIDERATION OTHER ASSETS OWNED TO INCLUDE CDS HELD OUTSIDE EDJ. THE BOND FURTHER WAS WITHIN SCOPE OF INVESTMENT OBJECTIVES (SPECIFICALLY THE INCOME OBJECTIVE). THE BOND WAS RATED "A" AT THE TIME OF PURCHASE AND CLIENT WAS PROVIDED WITH A TRADE CONFIRMATION AS WELL AS A PROSPECTUS. FA INDICATED HE HAS OFTEN DISCUSSED INVESTMENT RISKS WITH CLIENT AND SHE WAS AWARE THERE WERE RISKS ASSOCIATED WITH HER INVESTMENTS TO INCLUDE THE LEHMAN BOND. CLIENT HAS BEEN PROVIDED WITH CLIENT STATEMENTS WHICH REFLECT THE HOLDINGS IN ACCOUNT, ASSET CATEGORIES AS WELL AS ESTIMATED VALUES. WHILE WE UNDERSTAND CLIENT'S CONCERN WITH THE LEHMAN BOND, THE SUGGESTION FROM FA TO PURCHASE THE BOND IN 2003 WAS BASED ON INFORMATION KNOWN AT THAT TIME. THE MORE RECENT DEVELOPMENTS WITH LEHMAN WERE CERTAINLY UNEXPECTED BY MANY IN THE FINANCIAL INDUSTRY. FA WILL UPDATE AS NEW INFORMATION BECOMES AVAILABLE. CLAIM DENIED.

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

8/23/05-2/09; CLIENT CLAIMS FROM THE START SHE WANTED HER CAPITAL TO BE PROTECTED IN HER IRA. CLIENT CLAIMS SHE THINKS THE INVESTMENTS IN HER IRA ARE UNSUITABLE FOR HER AGE AND HANDICAPS (NOT ABLE TO WORK AGAIN). CLIENT CLAIMS THIS IS ALL THE MONEY SHE HAS AND WAS TO BE USED WHEN SHE NO LONGER ABLE TO LIVE ALONE. CLAIM EXCEEDS \$5,000

Product Type:

Mutual Fund

Alleged Damages:

\$5,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:**

02/03/2009

Complaint Pending?

No

Status:

Denied



Status Date: 05/22/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

FA STATED HE BEGAN WORKING WITH CLIENT IN AUGUST 2005 AND SHE HAD INDICATED SHE WAS DISSATISFIED WITH THE FEES AND RESULTS OF THE PORTFOLIO WITH HER PRIOR FIRM. FA STATED CLIENT HAD INDICATED SHE WOULD NOT BE USING THESE FUNDS FOR CURRENT INCOME AND DID NOT INTEND TO USE THESE FUNDS UNLESS SOMETHING UNFORESEEN DEVELOPED. ACCORDING TO FA, BASED ON INITIAL DISCUSSIONS HE SUGGESTED A DIVERSIFIED PORTFOLIO OF VANKAMPEN MUTUAL FUNDS. AT THE TIME OF THE PURCHASES IN AUGUST 2005, CLIENT WOULD HAVE BEEN PROVIDED WITH TRADE CONFIRMATIONS AND FUND PROSPECTUSES. ADDITIONALLY, CLIENT HAS BEEN PROVIDED WITH CLIENT STATEMENTS REFLECTING THE PERFORMANCE OF THE FUNDS AS WELL AS THE ASSET CATEGORY OF THE FUNDS. IT IS MY UNDERSTANDING CLIENT HAS HAD CONVERSATIONS WITH FA SINCE THE INITIAL PURCHASES IN WHICH THE PORTFOLIO WAS DISCUSSED; HOWEVER, IT WOULD APPEAR NO CHANGES TO INVESTMENTS WERE MADE OR REQUESTED BY YOU. WHILE WE UNDERSTAND DISSATISFACTION WITH THE PERFORMANCE OF THE ACCOUNT, THE DECLINE IN VALUE CAN BE ATTRIBUTED TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING AS WELL AS WITHDRAWALS TAKEN BEGINNING IN 2007. OUR RECORDS REFLECT THE FUNDS DO APPEAR TO BE WITHIN THE SCOPE OF THE STATED INVESTMENT OBJECTIVES. BASED ON OUR REVIEW, IT DOES APPEAR THE FUNDS WERE PURCHASED BASED ON DISCUSSIONS WITH FA AS WELL AS INFORMATION PROVIDED TO HIM IN AUGUST 2005. FURTHER, IT APPEARS THE TRADES WERE PLACED WITH CLIENT'S AUTHORIZATION AND HAVE BEEN REVIEWED WITH CLIENT SINCE THE INITIAL ACTIVITY.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: ON 1997 THE CLIENT PURCHASED \$100,000 LASALLE CD THAT MATURED IN 2012. THE CD WAS CALLED IN 1999 AND THE PROCEEDS WERE USED TO PURCHASE A LASALLE DEPOSIT NOTE THAT MATURED IN 2014. THE CLIENT STATES HOLDER DID NOT INFORM HIM THAT THE NEW INVESTMENT WAS A BOND WHICH WOULD MATURE IN 2014 AND WAS NOT INSURED BY THE US GOVERNMENT. THE CLIENT REQUESTS HIS ORIGINAL INVESTMENT RETURNED.

Product Type: CD(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 09/11/2000



Complaint Pending?	No
Status:	Denied
Status Date:	11/03/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE TWO CALLABLE CDS AND ONE DEPOSIT NOTE WAS FDIC INSURED AND INCLUDED ESTATE FEATURES. THE CLIENT WAS INFORMED OF APPLICABLE MATURITY AND CALL INFORMATION, AS WELL AS MARKET FLUCTUATION. CLAIM DENIED.



End of Report

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