User Guidance

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# IAPD Report

## Michael Anthony Scoma

CRD# 2427399

# 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

## Michael Anthony Scoma (CRD# 2427399)

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 **04/08/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | EDWARD JONES | CRD# 250 | 02/17/1994 |
| IA | EDWARD JONES | CRD# 250 | 07/17/2007 |

## QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **39** 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 **39** 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 | 02/17/1994 |
| 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 | 02/22/1994 |
| B | Arizona | Agent | Approved | 03/04/2010 |
| B | Arkansas | Agent | Approved | 06/25/2002 |
| B | California | Agent | Approved | 03/20/1997 |
| B | Colorado | Agent | Approved | 02/01/1999 |
| B | Delaware | Agent | Approved | 04/24/2019 |
| B | Florida | Agent | Approved | 04/24/2012 |
| B | Georgia | Agent | Approved | 08/24/1999 |
| B | Hawaii | Agent | Approved | 10/28/2010 |
| B | Idaho | Agent | Approved | 01/21/2021 |

 

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Illinois | Agent | Approved | 09/05/2000 |
| B | Indiana | Agent | Approved | 01/22/2009 |
| B | Iowa | Agent | Approved | 10/12/2005 |
| B | Kansas | Agent | Approved | 08/26/2008 |
| B | Kentucky | Agent | Approved | 01/22/2008 |
| B | Louisiana | Agent | Approved | 12/08/2004 |
| B | Maryland | Agent | Approved | 02/28/2005 |
| B | Massachusetts | Agent | Approved | 06/24/2010 |
| B | Michigan | Agent | Approved | 06/29/2009 |
| B | Minnesota | Agent | Approved | 10/28/2016 |
| B | Missouri | Agent | Approved | 04/19/1995 |
| B | Montana | Agent | Approved | 02/28/2007 |
| B | Nevada | Agent | Approved | 01/08/2010 |
| B | New Jersey | Agent | Approved | 03/04/2010 |
| B | New Mexico | Agent | Approved | 03/04/2010 |
| B | New York | Agent | Approved | 05/17/2010 |
| B | North Carolina | Agent | Approved | 02/08/2001 |
| B | North Dakota | Agent | Approved | 03/28/2014 |
| B | Ohio | Agent | Approved | 11/23/2009 |

 

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Oklahoma | Agent | Approved | 03/04/2005 |
| B | Oregon | Agent | Approved | 03/04/2010 |
| B | Pennsylvania | Agent | Approved | 08/01/2000 |
| B | South Carolina | Agent | Approved | 04/23/2008 |
| B | Tennessee | Agent | Approved | 10/28/2013 |
| B | Texas | Agent | Approved | 03/18/1994 |
| IA | Texas | Investment Adviser Representative | Approved | 07/17/2007 |
| B | Utah | Agent | Approved | 10/31/2007 |
| B | Virginia | Agent | Approved | 02/24/2010 |
| B | Washington | Agent | Approved | 09/08/2014 |
| B | Wisconsin | Agent | Approved | 11/03/2023 |
| B | Wyoming | Agent | Approved | 06/25/2013 |

### Branch Office Locations

**EDWARD JONES**
530 E SOUTHLAKE BLVD SUITE 120
SOUTHLAKE, TX  76092-6234

 

# 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 |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 02/16/1994 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA B | Uniform Combined State Law Examination (S66) | Series 66 | 07/13/2007 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/04/1994 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

# 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 | EULESS, TX, 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
Spring Town, TX
Start date: 8/1/2016
Owner
Hours per week: 0
Hours during trading: 0
All responsibilities are handled by maintenance man.
*
Rental Property
Bedford, TX
Start date: 7/3/2017
Owner
Hours per week: 0
Hours during trading: 0
Desc: All responsibilities are handled by maintenance
*
2nd Home/ Airbnb Cabin in Broken Bow OK
Type of business: cabin rentals
Broken Bow, OK
Start date: 9/30/2019
owner of cabin
Hours per week: 0
Hours during trading: 0
Desc: Manage property
*
Scoma Jazz band
Keller, TX
Start date: 1/3/2017
guitar player
Hours per week: 2

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

Hours during trading: 0
Desc: I promote and schedule the Scoma Jazz band with venues and players.
*
Fire Dancer properties
Type of business: Vacation rental
Broken Bow, OK
Start date: 6/1/2023
Owner
Hours per week: 0
Hours during trading: 0
Desc: My Wife Michele Scoma and Lisa Moore manage properties.
*
Firedancer Cabins
Type of business: Vacation rentals
Broken Bow, OK
Start date: 12/4/2023
Owner
Hours per week: 0
Hours during trading: 0
Desc: My wife and Lisa Moore manage all properties
*
Scoma Reality LLC
Type of business: rental property
Keller, TX
Start date: 9/2/2025
Owner
Hours per week: 2
Hours during trading: 0
collect rent, delegate militance

# 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:** | FIRM RECEIVED LETTER SIGNED BY CLIENT INDICATING THAT INVESTMENTS MADE IN HER ACCOUNT ARE NOT SUITABLE. LETTER ALSO STATES THAT CLIENT WANTS TO TRANSFER ACCOUNT TO ANOTHER FIRM AND DOES NOT WANT TO BE CONTACTED BY OUR FIRM OR IR REGARDING THE TRANSFER. |
| **Product Type:** | Other |
| **Alleged Damages:** | $5,000.00 |

### Customer Complaint Information

| | |
| --- | --- |
| **Date Complaint Received:** | 01/27/2003 |
| **Complaint Pending?** | No |
| **Status:** | Closed/No Action |
| **Status Date:** | 02/10/2003 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |
| **Broker Statement** | ACCORDING TO IR, HE WAS SURPRISED THE CLIENT HAD FILED A COMPLAINT AS HE BELIEVED HE HAD A GOOD RELATIONSHIP WITH THE CLIENT AND CONSIDERED HER A VALUED CLIENT. AS SUCH, HE DID CONTACT THE CLIENT, WHICH RESULTED IN A COMPLIANCE OFFICER'S |

 

CONVERSATION WITH THE CLIENT ON JANUARY 28, 2003. AT THAT TIME, THE CLIENT INDICATED HER DESIRE TO MAINTAIN HER ACCOUNT WITH THE IR AND THE FIRM. SHE FURTHER INDICATED IT WAS NOT HER INTENTION TO FILE A COMPLAINT AGAINST THE IR AND SHE DID NOT HAVE A COPY OF THE COMPLAINT LETTER IN HER POSSESSION. A COPY OF THE COMPLAINT LETTER FOR WAS SENT TO THE CLIENT FOR HER REVIEW. IN REVIEWING ACCOUNT INFORMATION, IT DOES NOT APPEAR THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT ARE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. THE IR HAS STATED HE HAS REVIEWED THE CLIENT'S PORTFOLIO WITH HER AND THE CLIENT WAS SATISFIED WITH THE RESULTS OF THEIR CONVERSATION. ADDITIONALLY, A SIMILAR LETTER WAS RECEIVED FROM A DIFFERENT CLIENT MAKING THE SAME ALLEGATIONS AGAINST ANOTHER IR IN TEXAS. TO DATE, BOTH OF THESE CLIENTS HAVE INDICATED THEY WERE UNAWARE THEY WERE SIGNING LETTERS OF COMPLAINT, DO NOT WANT TO TRANSFER THEIR ACCOUNTS TO OTHER FIRMS, AND NEVER INTENDED TO FILE A COMPLAINT AGAINST THEIR RESPECTIVE IRS.

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | EDWARD JONES |
| **Allegations:** | CLIENT STATES THAT SCOMA MADE UNSUITABLE RECOMMENDATIONS FOR HER ACCOUNT BASED<br>ON HER AGE, RISK TOLERANCE, AND INVESTING EXPERIENCE. CLIENT ALSO STATES THAT SCOMA<br>DID NOT DIVULGE THE HOLDINGS OF THE FUNDS OR THE AGGRESSIVE NATURE OF THE MUTUAL<br>FUNDS PURCHASED. REQUESTS A REIMBURSEMENT OF THE FULL PRINCIPAL AMOUNT INVESTED.<br>APPROXIMATE LOSSES ARE $27,100.00. |
| **Product Type:** | Mutual Fund(s) |
| **Alleged Damages:** | $27,100.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/24/2001 |
| **Complaint Pending?** | No |
| **Status:** | Denied |
| **Status Date:** | 10/23/2001 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |
| **Broker Statement** | SCOMA STATES, DURING HIS INITIAL MEETING WITH THE CLIENT, HE DISCUSSED THE RISKS<br>ASSOCIATED WITH OWNING MUTUAL FUNDS. HE HAS STATED HE EXPLAINED THE MUTUAL<br>FUNDS WERE AN OWNERSHIP INVESTMENT AND THE PORFOLIOS, COMPRISED OF INDIVIDIUAL<br>STOCKS, ARE PROFESSIONALLY MANAGED. SCOMA HAS STATED HE |

 

EXPLAINED THE PRICING
STRUCTURE AND INFORMED THE CLIENT PURCHASING THE FUND SHOULD BE CONSIDERED A
LONG TERM INVESTMENT.  SCOMA HAS INDICATED HE SUGGESTED THE CLIENT MAINTAIN AN
AMPLE BALANCE IN HER CREDIT UNION ACCOUNT TO MEET IMMEDIATE NEEDS. RECORDS
INDICATE THE FUNDS WERE PURCHASED IN JULY, 2000.  AT THE TIME OF THE TRANSACTIONS,
THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATION AS WELL AS THE APPROPRIATE
MUTUAL FUND PROSPECTUSES.  IN ADDITION, THE CLIENT HAS RECEIVED CUSTOMER STATEMENTS.
BASED ON OUR REVIEW THE TRANSACTIONS WERE AUTHORIZED AND SCOMA DID DISCUSS THE
RISKS ASSOCIATED WITH OWNING MUTUAL FUNDS.  CLAIM DENIED.

## End of Report

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