



IAPD Report

JEFFREY NELMS BOONE

CRD# 2436442

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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

JEFFREY NELMS BOONE (CRD# 2436442)

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 **07/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	08/27/2012
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	08/30/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	SUNTRUST INVESTMENT SERVICES, INC.	17499	OLIVE BRANCH, MS	08/23/2012 - 12/31/2016
IA	FIRST TENNESSEE ADVISORY SERVICES, INC.	143830	MEMPHIS, TN	09/03/2008 - 10/03/2011
IA	FTB ADVISORS, INC.	17117	MEMPHIS, TN	03/12/2004 - 10/03/2011

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
Regulatory Event	1
Customer Dispute	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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/27/2012
B FINRA	General Securities Representative	Approved	08/27/2012
B Alabama	Agent	Approved	10/01/2019
B Arizona	Agent	Approved	04/12/2024
B Arkansas	Agent	Approved	08/29/2012
B California	Agent	Approved	01/09/2018
B Colorado	Agent	Approved	03/02/2022
B Florida	Agent	Approved	05/18/2016
B Georgia	Agent	Approved	05/04/2021
B Hawaii	Agent	Approved	09/29/2023
B Indiana	Agent	Approved	10/30/2019
B Mississippi	Agent	Approved	09/05/2012
B Nevada	Agent	Approved	11/06/2023



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	07/22/2025
B South Carolina	Agent	Approved	05/11/2021
B Tennessee	Agent	Approved	08/28/2012
B Texas	Agent	Approved	01/24/2020
B Wisconsin	Agent	Approved	09/30/2021

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
 1175 W POPLAR AVE
 COLLIERVILLE, TN 38017

SUNTRUST INVESTMENT SERVICES, INC.
 3585 HACKS CROSS RD
 MEMPHIS, TN 38125

SUNTRUST INVESTMENT SERVICES, INC.
 125 W BROADWAY ST
 WEST MEMPHIS, AR 72301

SUNTRUST INVESTMENT SERVICES, INC.
 9005 HIGHWAY 64
 ARLINGTON, TN 38002

SUNTRUST INVESTMENT SERVICES, INC.
 1136 N GERMANTOWN PKWY
 CORDOVA, TN 38016

SUNTRUST INVESTMENT SERVICES, INC.
 7770 POPLAR AVE
 GERMANTOWN, TN 38138

SUNTRUST INVESTMENT SERVICES, INC.
 3338 ELVIS PRESLEY BLVD
 MEMPHIS, TN 38116

SUNTRUST INVESTMENT SERVICES, INC.
 1895 UNION AVE
 MEMPHIS, TN 38104

SUNTRUST INVESTMENT SERVICES, INC.
 3550 AUSTIN PEAY HWY
 MEMPHIS, TN 38128

SUNTRUST INVESTMENT SERVICES, INC.
 OAKLAND, TN

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**
 Main Address: 303 PEACHTREE STREET
 2ND FLOOR
 ATLANTA, GA 30303
 Firm ID#: 283390

Regulator	Registration	Status	Date
IA Arkansas	Investment Adviser Representative	Approved	09/13/2016
IA Mississippi	Investment Adviser Representative	Approved	12/27/2016



Qualifications

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	08/30/2016

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
1175 W POPLAR AVE
COLLIERVILLE, TN 38017




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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/24/2002

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/22/2002
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/21/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1994

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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/23/2012 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	OLIVE BRANCH, MS
IA	09/03/2008 - 10/03/2011	FIRST TENNESSEE ADVISORY SERVICES, INC.	CRD# 143830	MEMPHIS, TN
IA	03/12/2004 - 10/03/2011	FTB ADVISORS, INC.	CRD# 17117	MEMPHIS, TN
B	01/14/1999 - 10/03/2011	FIRST TENNESSEE BROKERAGE, INC.	CRD# 17117	MEMPHIS, TN
B	04/22/1994 - 03/21/1997	ARAGON FINANCIAL SERVICES, INC.	CRD# 16023	IRVINE, CA

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
08/2016 - Present	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
08/2012 - Present	SUNTRUST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

No information reported.



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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/09/1996

Docket/Case Number: C05960066

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/09/1996

Sanctions Ordered: Censure
Monetary/Fine \$3,740.00
Suspension

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

ON OCTOBER 9, 1996, DISTRICT NO. 5 NOTIFIED JEFFREY N. BOONE THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05960066 WAS ACCEPTED; THEREFORE, RESPONDENT BOONE IS CENSURED, FINED \$3,740 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE MONTH - NASD RULES 2110, 2310, AND 2210 (FORMERLY ARTICLE III, SECTIONS 1, 2 AND 35 OF THE RULES OF FAIR PRACTICE) - RESPONDENT BOONE RECOMMENDED AND ENGAGED IN PURCHASE TRANSACTIONS IN MUTUAL FUNDS FOR PUBLIC CUSTOMERS WITHOUT RECEIVING AN ACKNOWLEDGEMENT FROM THE CUSTOMERS IN WRITING THAT THE CUSTOMERS UNDERSTOOD THAT SUCH PURCHASES COULD HAVE BEEN EXECUTED AT A REDUCED SALES CHARGE AT CERTAIN BREAKPOINT LEVELS AND WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT SUCH RECOMMENDATIONS AND RESULTANT TRANSACTIONS IN MUTUAL FUNDS WITH SIMILAR INVESTMENT OBJECTIVES WERE SUITABLE FOR THE CUSTOMERS ON THE BASIS OF THEIR FINANCIAL SITUATION, INVESTMENT OBJECTIVES, AND NEEDS; AND, SENT CORRESPONDENCE TO PUBLIC CUSTOMERS ON THE LETTERHEAD OF AN ORGANIZATION PRIOR TO OBTAINING WRITTEN SUPERVISORY APPROVAL OF THE CORRESPONDENCE FROM A PRINCIPAL OF HIS MEMBER FIRM).

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS DECEMBER 16, 1996 AND WILL CONCLUDE JANUARY 16, 1997.

\$3,740.00 PAID ON 11/07/96, INVOICE #96-05-788

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	10/09/1996
Docket/Case Number:	C05960066
Employing firm when activity occurred which led to the regulatory action:	ARAGON FINANCIAL SERVICES
Product Type:	Mutual Fund
Allegations:	FAILURE TO DISCLOSE BREAKPOINTS AND UNAPPROVED CORRESPONDENCE (EMPLOYED BY ARAGON FINANCIAL SERVICES INC. PER ACW LETTER)
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes



Resolution Date: 10/09/1996
Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 30 DAYS
Start Date: 12/16/1996
End Date: 01/16/1997

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$3,500.00
Portion Levied against individual: \$3,500.00

Payment Plan:

Is Payment Plan Current:
Date Paid by individual: 08/30/1996
Was any portion of penalty waived? No

Amount Waived:

Broker Statement

I DID DISCUSS BREAKPOINTS WITH THE BREYERS. I WAS IGNORANT OF THE REQUIREMENTS OF THE BREAKPOINT LETTER AND UNAPPROVED CORRESPONDENCE. THERE IS NO EXCUSE FOR MY IGNORANCE AND I ACCEPT FULL RESPONSIBILITY FOR MY ACTIONS. EVEN THOUGH I CAN PROVE THAT MRS. BREYER DID NOT TELL THE TRUTH IN HER STATEMENTS REGARDING THE ACOMPLAINT, I CANNOT PROVE THAT WE DISCUSSED BREAKPOINTS. MRS. BREYER TOLD ME THAT SHE FILED THE COMPLAINT ON THE ADVISE OF HER BROTHER-IN-LAW (A BROKER). I DEEPLY REGRET THE ENTIRE SITUATION, AND I HAVE LEARNED AN EXTREMELY VALUABLE LESSON IN REGARD TO DOCUMENTATION.



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:	SUNTRUST INVESTMENT SERVICES, INC.
Allegations:	INVESTMENT RECOMMENDATIONS NOT IN LINE WITH IRA EARLY WITHDRAWAL REQUIREMENTS.
Product Type:	Annuity-Variable Other: IRA
Alleged Damages:	\$470,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-03585
Date Notice/Process Served:	01/07/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2020
Monetary Compensation Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Broker Statement

I inherited this account and did not make the initial recommendations at issue in this arbitration. I was one of several advisors assigned to the client who were named in the complaint. All recommendations that I made to the client were in his best interest, and I vehemently deny all allegations against me. Due to the cost of arbitration, the Firm decided to settle the matter. No finding of fault was made, and I was not disciplined in any way. I was not asked to participate financially in the settlement.



End of Report

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