



IAPD Report

Philip W Quinn

CRD# 2565932

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

i 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

Philip W Quinn (CRD# 2565932)

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	02/14/1995
IA	EDWARD JONES	CRD# 250	01/17/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **18** 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
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	12/07/1994 - 01/20/1995
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	12/07/1994 - 01/20/1995

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 **18** 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	02/14/1995
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	04/21/1995
B	Arizona	Agent	Approved	03/22/2017
B	Arkansas	Agent	Approved	05/02/2011
B	California	Agent	Approved	02/14/2003
B	Colorado	Agent	Approved	12/16/2015
B	Florida	Agent	Approved	02/11/2016
B	Georgia	Agent	Approved	09/23/1999
B	Indiana	Agent	Approved	01/04/2021
B	Louisiana	Agent	Approved	02/15/1995
IA	Louisiana	Investment Adviser Representative	Approved	01/17/2007



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	11/27/2018
B Mississippi	Agent	Approved	10/10/1997
B Montana	Agent	Approved	09/10/2021
B Nebraska	Agent	Approved	10/29/2014
B North Carolina	Agent	Approved	07/14/2015
B Oklahoma	Agent	Approved	03/07/1995
B Pennsylvania	Agent	Approved	03/05/2025
B South Carolina	Agent	Approved	10/03/2007
B South Dakota	Agent	Approved	07/06/2016
B Texas	Agent	Approved	03/07/1995
IA Texas	Investment Adviser Representative	Restricted Approval	08/26/2014

Branch Office Locations

EDWARD JONES
1625 BEGLIS PARKWAY
SULPHUR, LA 70663



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	12/06/1994
--	----------	------------

State Securities Law Exams

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

Uniform Combined State Law Examination (S66)	Series 66	05/12/2015
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	03/06/1995
--	-----------	------------

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
B	12/07/1994 - 01/20/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	12/07/1994 - 01/20/1995	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
02/1995 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SULPHUR, LA, 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.

Office Rental
 Type of Business: Rental
 Sulphur, LA
 Start date: 8/26/2005
 Owner
 Hours per week: 1
 Hours during trading: 1
 Management of office building.



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: THE CLIENT ALLEGED THAT THE INVESTMENTS PURCHASED IN HIS ACCOUNT DURING THE PAST FOUR YEARS WERE UNSUITABLE AND DID NOT MEET HIS BALANCED INVESTMENT OBJECTIVE. CLIENT'S ATTORNEY ADVISED THAT LOSSES WERE \$15,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 09/09/2003

Complaint Pending? No

Status: Denied

Status Date: 10/04/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT TRANSFERRED HIS ACCOUNT TO IR'S BRANCH OFFICE AFTER EXPERIENCING DISAPPOINTMENT WITH ANOTHER BROKER-DEALER. THE CLIENT WANTED TO WITHDRAW \$650 FROM THIS ACCOUNT ON A MONTHLY BASIS, AND IR SUGGESTED REBALANCING THE ACCOUNT SINCE THE ACCOUNT AT THAT TIME WOULD NOT SUPPORT THIS AMOUNT OF



WITHDRAWAL, WHICH WOULD HAVE BEEN EQUIVALENT TO 10% OF THE ACCOUNT VALUE. WHEN THE TRADES WERE MADE TO REBALANCE CLIENT'S ACCOUNT TO SUPPORT THE CLIENT'S NEED FOR WITHDRAWALS, THE CLIENT WOULD HAVE RECEIVED FUND PROSPECTUSES DISCLOSING THE RISKS ASSOCIATED WITH THE FUND INVESTMENTS, AS WELL AS TRADE CONFIRMATIONS AND SUBSEQUENT STATEMENTS DISCLOSING THESE TRANSACTIONS THAT DETAILED THE INVESTMENT OBJECTIVES OF THE PRODUCTS PURCHASED. OVER THE NEXT FEW YEARS, THE CLIENT BORROWED \$10,000 FROM HIS MARGIN ACCOUNT TO PAY OFF A CREDIT CARD BALANCE, AND ALSO HAD CHECKS ISSUED FROM THE ACCOUNT FOR AN ADDITIONAL \$28,000. THE CLIENT'S REQUEST FOR REIMBURSEMENT WAS DENIED.

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED THAT HE WAS NOT APPRISED OF THE BREAKPOINTS, RIGHTS OF ACCUMULATION OR ON THE USE OF A LETTER OF INTENT ON THE MUTUAL FUND PURCHASES THAT WERE MADE IN THIS ACCOUNT IN 1998. THE CLIENT REQUESTED ANSWERS TO A SERIES OF QUESTIONS, BEFORE PROCEEDING TO THE NASD OR SEC. NO AMOUNT SPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/01/2003

Complaint Pending? No

Status: Denied

Status Date: 08/26/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE IR STATED HE EXPLAINED BREAKPOINTS WITH THE CLIENT AND THAT THE CLIENT RECEIVED THE \$250,000 BREAKPOINT FOR EACH PURCHASE. THE IR FURTHER STATED THAT THE CLIENT AVERAGED INTO THE FUNDS OVER TIME. IT APPEARS THE ACCOUNT WAS HANDLED PROPERLY; THEREFORE, CLIENT'S CLAIM IS DENIED.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: CLIENT STATES HE INVESTED FUNDS WITH QUINN WHEN HE RETIRED AND QUESTIONED IF HE COULD WITHDRAW \$3,000 PER MONTH. CLIENT STATES IN 1999 HE INQUIRED ABOUT BORROWING MONEY FROM THE



ACCOUNT AND STATES HE BELIEVED THE LOAN WAS INTEREST-FREE WITH NO SPECIFIC TIMEFRAME FOR PAYING OFF THE LOAN. CLIENT FURTHER STATES THAT WHEN THE MARKET BEGAN TO DECLINE QUINN CONTINUALLY ADVISED HIM TO HOLD ONTO INVESTMENTS WHICH HAD BEEN PREVIOUSLY PURCHASED. CLIENT ALLEGES THE ACCOUNT VALUE DECLINED FROM \$500,000 TO \$275,000. ALLEGED LOSSES EXCEED \$5,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: \$225,000.00

Customer Complaint Information

Date Complaint Received: 01/13/2003

Complaint Pending? No

Status: Denied

Status Date: 02/25/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO THE IR, HE WAS INFORMED IN 1997 THE CLIENT WAS RETIRING EARLY AND THE CLIENT WANTED TO ESTABLISH AN ACCOUNT FROM WHICH THE CLIENT COULD WITHDRAW \$3,000/MONTH. IR INDICATED HE INFORMED THE CLIENT, IN ORDER TO MEET THE WITHDRAWAL REQUIREMENT, THE CLIENT WOULD HAVE TO BE WILLING TO ASSUME A GREATER AMOUNT OF RISK. IR FURTHER INDICATED HE SUGGESTED SEVERAL EQUITY-BASED MUTUAL FUNDS AND EXPLAINED THE RISKS ASSOCIATED WITH OWNING THEM TO THE CLIENT. IR STATED HE DISCUSSED THE ACCOUNTS WITH THE CLIENT ON SEVERAL OCCASIONS AND SOME CHANGES WERE MADE TO THE ACCOUNTS AS A RESULT OF THEIR DISCUSSIONS. IN 1999, THE CLIENT CONTACTED THE IR REGARDING A LOAN AFTER RECEIVING INFORMATION WITH HIS CUSTOMER STATEMENTS. IR STATED THE CLIENT WAS INTERESTED IN MAKING IMPROVEMENTS TO A RENTAL PROPERTY, AND THE IR FURTHER STATED HE INFORMED THE CLIENT THE LOAN DID NOT REQUIRE A MONTHLY PAYMENT AND THE INTEREST RATE WOULD FLUCTUATE WITH THE PRIME RATE. IR HAS INDICATED THAT AT NO TIME DID HE INFORM THE CLIENT THE LOAN WAS INTEREST-FREE. AT THE TIME OF THE BUYS/SELLS EFFECTED IN THE ACCOUNT, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS AS WELL AS THE APPROPRIATE MUTUAL FUND PROSPECTUSES. IN ADDITION, THE CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNTS AS WELL AS REFLECTING ACTIVITY, INCLUDING INTEREST CHARGES. BASED ON OUR REVIEW, IT APPEARS ALL TRANSACTIONS EFFECTED IN THE ACCOUNTS WERE AUTHORIZED AND THAT THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNTS ARE NOT OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNTS. WHILE THE FIRM UNDERSTANDS THE CLIENT'S DISAPPOINTMENT WITH THE DECLINE IN THE VALUE OF THE ACCOUNTS, THE DECLINE IS ATTRIBUTED TO MARKET FLUCTUATION (WHICH IS A RISK ASSOCIATED WITH INVESTING) AS WELL AS WITHDRAWALS. CLAIM DENIED.



End of Report

This page is intentionally left blank.