



IAPD Report

Rene' A Flores

CRD# 2774768

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6
Disclosure Information	7

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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

Rene' A Flores (CRD# 2774768)

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 **02/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/16/1998
IA	EDWARD JONES	CRD# 250	02/16/2007

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
B	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY	09/20/1996 - 01/15/1998
B	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ	07/23/1996 - 10/11/1996

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
Criminal	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 **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	01/16/1998
B	FINRA	Invest. Co and Variable Contracts	Approved	07/14/2020
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	01/21/1998
B	Alaska	Agent	Approved	04/25/2024
B	Arizona	Agent	Approved	09/04/2003
B	Arkansas	Agent	Approved	03/01/2023
B	California	Agent	Approved	01/16/1998
IA	California	Investment Adviser Representative	Approved	02/16/2007
B	Delaware	Agent	Approved	05/24/2023
B	Florida	Agent	Approved	02/26/2025
B	Hawaii	Agent	Approved	05/15/2018



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	03/13/2015
B Maryland	Agent	Approved	10/27/2005
B Mississippi	Agent	Approved	03/21/2019
B Missouri	Agent	Approved	05/23/2003
B Nebraska	Agent	Approved	11/19/2019
B Nevada	Agent	Approved	06/17/2024
B Oregon	Agent	Approved	07/06/2020
B Texas	Agent	Approved	01/20/1998
IA Texas	Investment Adviser Representative	Restricted Approval	01/17/2019
B Utah	Agent	Approved	12/03/2020
B Washington	Agent	Approved	02/09/2015

Branch Office Locations

EDWARD JONES
700 LA TERRAZA BLVD STE 130
ESCONDIDO, CA 92025

EDWARD JONES
700 LA TERRAZA BLVD SUITE 130
ESCONDIDO, CA 92025



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, 4 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
B Futures Managed Funds Examination (S31)	Series 31	10/31/1996
B General Securities Representative Examination (S7)	Series 7	10/03/1996
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/22/1996

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/08/1996
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/26/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	09/20/1996 - 01/15/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	07/23/1996 - 10/11/1996	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ

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
01/1998 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	ESCONDIDO, 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.

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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	SAN DIEGO SUPERIOR COURT, NORTH COUNTY DIVISION VISTA, CA CASE# H00555
Charge Date:	05/02/1984
Charge Details:	CT. 1: HS11350-POSSESSION OF A CONTROLLED SUBSTANCE - FELONY - DIVERSION CT 2: HS11550 - UNDER INFLUENCE OF CONTROLLED SUBSTANCE, MISDEMEANOR, DIVERSION
Felony?	Yes
Current Status:	Final
Status Date:	11/30/1984
Disposition Details:	SETTLEMENT - NO FORMAL CHARGES BECAUSE I AGREED TO A DIVERSION PROGRAM WHICH WAS A SIX WEEK AWARENESS CLASS. THE SETTLEMENT ALSO STATED THAT IF I WENT TO THIS CLASS CHARGES WERE DISMISSED; PER DIVERSION PROGRAM.
Broker Statement	I WAS A PASSENGER IN MY FRIENDS CAR AND WE WERE PULLED OVER BY THE POLICE AND ARRESTED FOR BEING UNDER THE INFLUENCE OF COCAINE. I ENTERED A DIVERSION PROGRAM AND ALL CHARGES WERE DISMISSED WITHIN 6 MONTHS.



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: EDWARD JONES

Allegations: CLIENT STATES ON JANUARY 14, 2000 HE INSTRUCTED FLORES TO SELL 115 SHARES OF IDCC. CLIENT STATES FLORES INADVERTANTLY PURCHASED 115 SHARES OF IDCC INSTEAD. CLIENT SOLD HIS POSITION IN IDCC ON DECEMBER 12, 2000. CLIENT STATES FLORES HAS FAILED TO RESOLVE THE MATTER AND THE CLIENT HAS SUFFERED A LOSS OF AROUND \$10,000. *****

ARBITRATION CASE DESCRIPTION: ALLEGATIONS OF BREACH OF FIDUCIARY DUTY, FRAUD, DECEIT AND OMISSION OF MATERIAL FACT, FRAUDULENT CONCEALMENT, NEGLIGENCE MISREPRESENTATION, BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALING, VIOLATION OF FEDERAL AND CALIFORNIA SECURITIES LAWS, VIOLATION OF CALIFORNIA'S CIVIL CODE AND BUSINESS AND PROFESSIONAL CODE, VIOLATION OF NUMEROUS NASD RULES, BREACH OF WRITTEN CONTRACT, AND FAILURE TO SUPERVISE THROUGH FLORES' ALLEGEDLY UNAUTHORIZED PURCHASE OF 115 SHARES OF IDCC IN CLAIMANT'S ACCOUNT. (AMOUNT CLAIMED: \$9,999)

Product Type: Equity - OTC

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 06/28/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/23/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO: 03-03634

Date Notice/Process Served: 05/23/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/07/2003



Monetary Compensation Amount: \$9,000.00

Individual Contribution Amount: \$4,000.00

Broker Statement

FLORES WAS INSTRUCTED TO PLACE A SELL OF 115 SHS OF IDCC FOR CLIENT BUT IN ERROR PLACED A BUY. FLORES STATES HE IMMEDIATELY CONTACTED THE CLIENT TO INFORM HIM OF THE ERROR AND LET HIM KNOW IT WOULD BE CORRECTED. FLORES STATES THE CLIENT INSTRUCTED HIM NOT TO CORRECT THE TRADE AND LEAVE THE BUY IN THE ACCOUNT. FLORES STATES IN FEBRUARY THE CLIENT AGAIN DECLINED TO HAVE THE TRADE CORRECTED IN AS THE STOCK WAS BRIEFLY TRADING ABOVE HIS JANUARY 14 PURCHASE PRICE. ON OCTOBER 3, 2002, THE FIRM HAS MADE AN OFFER OF \$2070 WHICH REPRESENTS WHAT IT WOULD HAVE COST TO CORRECT THE TRADE IN FEBRUARY AT A PRICE OF \$31. AT THIS TIME, THE OFFER HAS NOT BEEN ACCEPTED. *****

ARBITRATION RESOLUTION DESCRIPTION: SETTLED FOR \$9,000 (\$4,000 PAID BY FLORES; \$5,000 PAID BY JONES)



End of Report

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