



IAPD Report

Brian David Blough

CRD# 3011847

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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

Brian David Blough (CRD# 3011847)

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 **08/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	03/24/1998
IA	EDWARD JONES	CRD# 250	01/29/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **26** 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	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 **26** 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	03/24/1998
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	05/18/1998
B	Alabama	Agent	Approved	10/29/2001
B	Arizona	Agent	Approved	06/04/2008
B	California	Agent	Approved	09/20/2018
B	Colorado	Agent	Approved	05/04/2011
B	Florida	Agent	Approved	06/30/1998
B	Georgia	Agent	Approved	03/31/1998
IA	Georgia	Investment Adviser Representative	Approved	01/29/2007
B	Illinois	Agent	Approved	11/18/2013
B	Indiana	Agent	Approved	07/06/2016



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	07/09/2025
B	Kentucky	Agent	Approved	06/17/2025
B	Louisiana	Agent	Approved	06/10/2008
B	Minnesota	Agent	Approved	04/14/2025
B	Mississippi	Agent	Approved	07/14/2023
B	Nevada	Agent	Approved	11/09/2016
B	New Hampshire	Agent	Approved	03/07/2022
B	New Jersey	Agent	Approved	09/19/2006
B	North Carolina	Agent	Approved	04/01/1998
B	North Dakota	Agent	Approved	07/16/2025
B	Ohio	Agent	Approved	08/28/2025
B	Pennsylvania	Agent	Approved	03/22/2002
B	South Carolina	Agent	Approved	05/31/2001
B	Tennessee	Agent	Approved	12/08/2004
B	Texas	Agent	Approved	02/19/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	12/04/2018
B	Virginia	Agent	Approved	04/01/1998
B	Washington	Agent	Approved	08/07/2018



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	06/12/2018

Branch Office Locations

EDWARD JONES
2089 Teron Trace Suite 225
Dacula, GA 30019



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	03/23/1998
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/22/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1998
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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
01/1998 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	LAWRENCEVILLE, 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.

Rental Property
Amelia Island, FL
Start date: 11/1/2021
Owner
Hours per week: 0
Hours during trading: 0
Property owner



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: 12/2002-12/2002; CLIENT STATES HE ESTABLISHED A 401K PLAN IN DECEMBER 2002 AND EVERYTHING SEEMED TO RUN VERY SMOOTHLY. CLIENT ALLEGES THAT THE BRANCH OFFICE CHANGED THE MANNER IN WHICH THEY PROCESSED TRANSACTIONS WHICH HAS RESULTED IN HIS EMPLOYEES WHO HAD TAKEN LOANS AGAINST THEIR PLANS TO INCUR ADDITIONAL INTEREST CHARGES. CLIENT ALSO STATES SOME LOAN PAYMENTS WERE MISAPPLIED. CLIENT INDICATES THESE ACTIONS HAVE MADE THEM LOSE CREDIBILITY WITH THEIR EMPLOYEES. CLIENT ALLEGES WHEN THEY DISCUSSED TRANSFERRING THE ACCOUNTS, THEY WERE ADVISED THEY WOULD INCUR APPROXIMATELY \$7,000.00 IN CONTINGENT DEFERRED SALES CHARGES. CLIENT CLAIMS THEY WERE NEVER AWARE B SHARE MUTUAL FUNDS WERE PURCHASED AND BELIEVES THEY SHOULD HAVE BEEN EDUCATED ABOUT THE DIFFERENT SHARE CLASSES. CLIENT ALSO INDICATES HE UNDERSTANDS B SHARES GENERALLY CONVERT TO A SHARES AND QUESTIONS WHY THE SHARES HAVE NOT BEEN CONVERTED. CLIENT REQUESTS THAT THE FIRM WAIVE THE CONTINGENT DEFERRED SALES CHARGES OF \$7,000.00. FILING REQUIRED.

Product Type: Mutual Fund

Alleged Damages: \$7,000.00

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: 05/29/2009

Complaint Pending? No

Status: Denied

Status Date: 07/01/2009

Settlement Amount:

Individual Contribution
Amount:

Broker Statement

WHEN THE PLAN WAS ESTABLISHED IN 2002, THE FA AND A LORD ABBETT REPRESENTATIVE PRESENTED A SHARE AND B SHARE OPTIONS TO THE CLIENT. THE CLIENT WAS ADVISED IF HE SELECTED B SHARES, INDIVIDUAL EMPLOYEES WOULD NOT SUBJECT TO A CONTINGENT DEFERRED SALES CHARGE (CDSC); HOWEVER, IF THE PLAN WAS MOVED FROM LORD ABBETT, THE CDSC WOULD BE APPLIED. PRIOR TO 02/05 CHANGES, THE DEFERRALS AND LOAN PAYMENTS WERE SUBMITTED AND DEPOSITED AT MONTH END REFLECTING EACH WEEKLY PAY PERIOD. AFTER 02/05, THE SAME PROCEDURE WAS CONTINUED WITH THE EXCEPTION OF NOT REFLECTING EACH WEEKLY PAY PERIOD. THE FA HAS INDICATED, WHEN A LOAN IS ORIGINATED, A CONFIRMATION LETTER IS SENT TO THE PARTICIPANT REFLECTING THE LOAN AMOUNT AND PAY-OFF SCHEDULE. IT IS UNDERSTOOD THE LOAN INFORMATION IS ALSO REFLECTED ON STATEMENTS AS WELL AS ON THE ADMINISTRATOR AND EMPLOYEE WEBSITE. IN 06/08, EMPLOYEES WERE NOTIFIED BY THE TPA OF AN ISSUE RELATED TO THE LOANS. THE FA HAS STATED THE COMPANY WAS NOTIFIED OF THE ISSUE AND WAS ENCOURAGED TO BEGIN WEEKLY CONTRIBUTIONS; HOWEVER, NO CHANGES WERE MADE. THE COMPANY WAS NOTIFIED A SECOND TIME OF THE ISSUE RELATED TO THE LOANS IN 08/08 AND AGAIN NO CHANGES WERE MADE. IT SEEMS THE CLIENT WAS AWARE OF THE CDSC ASSOCIATED WITH PURCHASING B SHARE MUTUAL FUNDS THROUGH INFORMATION PROVIDED BY THE FA AS WELL AS LORD ABBETT. SINCE THE PLAN WAS ESTABLISHED, THE CLIENT HAS RECEIVED ACCOUNT STATEMENTS WHICH HAVE REFLECTED THAT THE MUTUAL FUNDS PURCHASED WERE B SHARES. IN ADDITION, IT APPEARS THE CLIENT WAS ADVISED THAT A CDSC WOULD BE APPLIED IF THE ENTIRE PLAN WAS MOVED FROM LORD ABBETT. BASED ON OUR REVIEW OF THE INFORMATION PROVIDED, WE ARE RESPECTFULLY DENYING THE CLIENT'S REQUEST FOR A WAIVER OF THE CDSC.

Disclosure 2 of 2

Reporting Source: Individual

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

Allegations: THE CUSTOMER CLAIMS THE IR BOUGHT STOCKS AT HIGH PRICES AND DID NOT NOTIFY HIM WHEN THE STOCKS DROPPED IN VALUE. ALSO CLAIMS THE MR. BLOUGH PROVIDED HIM WITH OLD INFORMATION WHEN HE REQUESTED THE BALANCE OF HIS ACCOUNT.



THE CUSTOMER CLAIMS THE INVESTMENTS PURCHASED WERE NOT SUITABLE FOR AN INDIVIDUAL WITH HIS NET WORTH AND CLAIMS HE LOST \$18,000.00. A REVIEW OF THE CUSTOMER'S ACCOUNT INDICATES THE INVESTMENTS BEING QUESTIONED ARE MAINLY EQUITY MUTUAL FUNDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$18,000.00

Customer Complaint Information

Date Complaint Received: 06/26/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/25/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE IR DISCUSSED ALL INVESTMENTS WITH THE CLIENT AND FOLLOWED HIS INSTRUCTIONS ON THE BUYS AND SELLS IN THIS ACCOUNT. SINCE THE CLIENT HELD A MORE CONSERVATIVE PORTFOLIO WITH ANOTHER BROKER DEALER, HE WANTED TO INVEST A BIT MORE AGGRESSIVELY WITH THIS ACCOUNT. THE IR FOLLOWED THE CLIENT'S INSTRUCTIONS AND PROVIDED THE CLIENT WITH THE MOST RECENT NEWS AND CLOSING PRICES.



End of Report

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