



IAPD Report

John Shannon Riley

CRD# 3023584

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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

John Shannon Riley (CRD# 3023584)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	07/15/2002
IA	EDWARD JONES	CRD# 250	07/15/2002

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **30** 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	CUNA BROKERAGE SERVICES, INC.	13941	WAVERLY, IA	04/10/2000 - 07/23/2002
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	05/01/1998 - 04/04/2000
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	05/01/1998 - 04/04/2000

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 **30** 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	07/15/2002
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	07/16/2002
B Alabama	Agent	Approved	08/01/2006
B Alaska	Agent	Approved	03/21/2014
B Arizona	Agent	Approved	04/20/2009
B California	Agent	Approved	02/24/2009
B Colorado	Agent	Approved	11/24/2009
B Connecticut	Agent	Approved	08/17/2018
B Florida	Agent	Approved	07/17/2002
B Georgia	Agent	Approved	07/23/2013
B Illinois	Agent	Approved	07/15/2002



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	06/16/2004
B Maine	Agent	Approved	12/08/2020
B Maryland	Agent	Approved	03/13/2023
B Massachusetts	Agent	Approved	02/17/2016
B Michigan	Agent	Approved	10/14/2019
B Minnesota	Agent	Approved	07/15/2002
B Missouri	Agent	Approved	04/12/2011
B Nebraska	Agent	Approved	11/28/2023
B New Mexico	Agent	Approved	03/24/2022
B New York	Agent	Approved	06/10/2024
B North Carolina	Agent	Approved	06/09/2023
B Ohio	Agent	Approved	05/15/2007
B Oregon	Agent	Approved	03/28/2003
B South Carolina	Agent	Approved	02/28/2022
B Tennessee	Agent	Approved	09/20/2018
B Texas	Agent	Approved	03/29/2018
IA Texas	Investment Adviser Representative	Restricted Approval	01/17/2019
B Utah	Agent	Approved	03/11/2003



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	06/01/2017
B Washington	Agent	Approved	07/24/2012
B West Virginia	Agent	Approved	12/23/2025
B Wisconsin	Agent	Approved	07/15/2002
IA Wisconsin	Investment Adviser Representative	Approved	07/15/2002

Branch Office Locations

EDWARD JONES
7427 ELMWOOD AVE
MIDDLETON, WI 53562



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 3 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
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B General Securities Representative Examination (S7)	Series 7	04/30/1998
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/29/2005
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IA B Uniform Combined State Law Examination (S66)	Series 66	11/05/2001
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/02/1998
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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	04/10/2000 - 07/23/2002	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA
B	05/01/1998 - 04/04/2000	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/01/1998 - 04/04/2000	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
07/2002 - Present	EDWARD JONES	INVESTMENT REP	Y	ST LOUIS, MO, 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.

WISCONSIN UNITED ATHLETIC CLUB
MADISON, WI

START DATE: 4/7/2015

VICE PRESIDENT

HOURS PER MONTH: 0

HOURS DURING TRADING: 0

PRESIDE AT ALL MEETINGS OF THE MEMBERS OR DIRECTORS THAT THE PRESIDENT IS NOT ABLE TO ATTEND. HAS THE RIGHT TO VOTE AT ALL MEETINGS OF THE MEMBERS OR DIRECTORS OF THE CORPORATIONS.

1/4 interest in a vrbo rented house

Type of business: rental

Big Sky, MT

Start date: 12/9/2023

owner

Hours per week: 0

Hours during trading: 0

Desc: My sister, brother and I rent out a jointly owned vacation home. The rentals cover most but not all of the costs of the home. My sister handles the management of the property.



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: DANE COUNTY CIRCUIT COURT
CASE #134427

Charge Date: 08/21/1986

Charge Details: OPERATING A MOTOR VEHICLE WHILE INTOXICATED-MISDEMEANOR-NO CONTEST \$740 FINE MISDEMEANOR CRIMINAL DAMAGE-WHILE MOVING ONE CAR IT CONTACTED ANOTHER CAR CAUSING MINOR DAMAGE. RESTITUTION OF \$224.40 WAS PAID AND PROSECUTION WAS DECLINED. CARRY FALSE ID-I WAS IN POSSESSION OF AN ID WHICH INCORRECTLY STATED MY AGE-NO CONTEST PAID FINE-MISDEMEANOR

Felony?

Current Status: Final

Status Date: 09/19/1986

Disposition Details: OMOVWI-MISDEMEANOR-NO CONTEST-FINE PAID CRIMINAL DAMAGE-MISDEMEANOR- RESTITUTION PAID \$224.49-PROSECUTION DECLINED CARRY FALSE ID-MISDEMEANOR- NO CONTEST-FINE PAID

Broker Statement

WHILE OUT WITH A GROUP OF FREINDS WE MOVED THE FRONT END OF A PARKED CAR. THE BACK END OF THE CAR SHIFTED AND CONTACTED THE CAR NEXT TO IT CAUSING MINOR DAMAGE. AFTER RETURNING TO MY CAR SEVERAL HOURS LATER I WAS PULLED OVER IMMEDIATELY UPON LEAVING THE LOT. AT THE POLICE STATION I WAS FOUND TO BE IN POSSESSION OF AN ID THAT INCORRECTLY STATED MY AGE.



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 BELIEVES THE IR WAS VERY PERSISTENT WITH HIS RECOMMENDATION TO SELL OSHKOSH TRUCK. CLIENT CLAIMS THIS LEFT HIM WITH THE IDEA THAT THE STOCK WAS GOING TO "TANK" ANY MINUTE. CLIENT BELIEVES THE IR SHOULD HAVE RESEARCHED THIS MORE AS THE STOCK HAS SINCE SPLIT AND HE BELIEVES HE HAS INCURRED A LOSS OF \$12,736.00.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$12,736.00

Customer Complaint Information

Date Complaint Received: 03/16/2006

Complaint Pending? No

Status: Denied

Status Date: 06/01/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED HE BEGAN VISITING WITH CLIENT REGARDING THE DIVERSIFICATION OF PORTFOLIO IN APRIL 2003. ACCORDING TO IR HE SPOKE TO CLIENT ABOUT THIS SEVERAL TIMES LEADING UP TO THE LIQUIDATION OF OSHKOSH TRUCK (OSK) IN JULY 2005. IR STATED HE DISCUSSED THE LIQUIDATION OF BOTH OSK AND THE HOLDING IN SARA LEE (SLE) AND AT THE CONCLUSION OF SAID DISCUSSION CLIENT INSTRUCTED HIM TO LIQUIDATE THE SHARES OF OSK. MR. RILEY INDICATED HE AT NO TIME SUGGESTED OSK WOULD "TANK" AT ANY MINUTE AND BELIEVES CLIENT WAS SATISFIED WITH THE LIQUIDATION AT THE TIME OF THE TRANSACTION IN JULY 2005. IT IS MY UNDERSTANDING, UPON RECEIPT OF CLIENT'S LETTER, IR CONTACTED CLIENT TO DISCUSS CONCERNS. IR STATED HE BELIEVED CLIENT CONSIDERED THE MATTER RESOLVED AT THE CONCLUSION OF CONVERSATION. BASED ON OUR REVIEW, IT DOES APPEAR SHARES OF OSK WERE LIQUIDATED BASED ON DISCUSSIONS WITH IR AND THE RECOMMENDATION WAS MADE BASED ON INFORMATION AVAILABLE AT THE TIME OF THE TRADE IN JULY 2005. FURTHER, IT DOES APPEAR THE ORDER WAS PLACED WITH CLIENT'S AUTHORIZATION. AS A RESULT, EDWARD JONES WOULD RESPECTFULLY DENY ANY CLAIMS ASSOCIATED WITH SAID ORDER. CLAIM DENIED.



End of Report

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