



IAPD Report

Scott Lynwood Lee

CRD# 3039113

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
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

Scott Lynwood Lee (CRD# 3039113)

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 **09/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	05/15/1998
IA	EDWARD JONES	CRD# 250	03/26/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **36** 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	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 **36** 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	05/15/1998
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	07/06/1998
B Alabama	Agent	Approved	03/03/2015
B Arizona	Agent	Approved	07/11/2006
B California	Agent	Approved	07/13/1998
B Colorado	Agent	Approved	07/13/1998
B Connecticut	Agent	Approved	11/13/2015
B Delaware	Agent	Approved	03/05/2015
B Florida	Agent	Approved	07/09/1998
IA Florida	Investment Adviser Representative	Approved	03/26/2007
B Georgia	Agent	Approved	09/24/1998



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	12/02/2021
B Illinois	Agent	Approved	04/17/2012
B Indiana	Agent	Approved	07/15/2014
B Kansas	Agent	Approved	02/28/2023
B Kentucky	Agent	Approved	06/02/2017
B Maine	Agent	Approved	06/01/2004
B Maryland	Agent	Approved	02/22/1999
B Massachusetts	Agent	Approved	12/22/2009
B Michigan	Agent	Approved	02/22/1999
B Minnesota	Agent	Approved	04/08/2015
B Mississippi	Agent	Approved	04/30/2018
B Missouri	Agent	Approved	05/31/2024
B Nevada	Agent	Approved	04/05/2021
B New Hampshire	Agent	Approved	05/20/2004
B New Jersey	Agent	Approved	02/18/1999
B New York	Agent	Approved	02/09/2015
B North Carolina	Agent	Approved	02/07/2011
B Ohio	Agent	Approved	10/31/2003
B Oregon	Agent	Approved	09/30/2020



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	02/10/2003
B South Carolina	Agent	Approved	04/15/2003
B Tennessee	Agent	Approved	03/19/2004
B Texas	Agent	Approved	07/14/1998
IA Texas	Investment Adviser Representative	Restricted Approval	02/14/2019
B Utah	Agent	Approved	11/10/2004
B Virginia	Agent	Approved	02/22/1999
B Washington	Agent	Approved	08/01/2011
B Wisconsin	Agent	Approved	05/17/2004
B Wyoming	Agent	Approved	04/17/2017

Branch Office Locations

EDWARD JONES
103 US HWY 41 S
INVERNESS, FL 34450



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 1 state securities law exam.

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	05/11/1998
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	05/13/1998
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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:



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
03/1998 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	INVERNESS, FL, 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.

TYPE OF BUSINESS: RENTAL PROPERTY
 INVERNESS, FL
 START DATE: 11/28/2008
 LANDLORD
 HOURS PER WEEK: 0
 HOURS DURING TRADING: 0
 Maintain property***

BOOSTERS
 BOARD MEMBER

OCI, Inc.
 Colorado Springs, CO
 Start date: 9/17/2020
 Board Member
 Hours per week: 0
 Hours during trading: 0
 Board Member. Serve on Finance Committee to review annual budget and board in general



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: CLIENT CLAIMS HE INVESTED \$180,000 ON THE FA'S RECOMMENDATION AND WAS ASSURED THE MONEY WOULD BE SAFE AND WOULD GROW. CLIENT CLAIMS HIS INVESTMENTS HAVE CONTINUED TO GO DOWN AND HE BELIEVES HE WAS "LIED" TO REGARDING THE SAFETY OF HIS INVESTMENTS. CLAIM EXCEEDS \$5,000

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/25/2008

Complaint Pending? No

Status: Denied

Status Date: 04/18/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement FA STATED HE MET WITH CLIENT ON TWO OCCASIONS PRIOR TO THE PURCHASE OF THE MUTUAL FUNDS. DURING THESE MEETINGS FA STATED HE DISCUSSED DETAILS REGARDING THE FUNDS AS WELL AS INVESTMENT TIME HORIZON AVAILABLE FOR THESE FUNDS. ACCORDING



TO FA IT WAS DETERMINED CLIENT HAD AT LEAST A 10 YEAR PERIOD TO LEAVE THE FUNDS INVESTED. FA INDICATED HE REVIEWED HYPOTHETICALS WITH CLIENT. HE FURTHER INDICATED HE MADE CLIENT AWARE THERE WAS NO GUARANTEE AS TO PERFORMANCE AS THE FUNDS WERE INVESTED IN STOCKS WHICH WOULD BE SUBJECT TO MARKET FLUCTUATION. PRIOR TO PLACING TRADES OCT. 25, 2007, AGAIN VERIFIED CLIENT HAD A 10 YEAR INVESTMENT TIME HORIZON, UNDERSTOOD PORTFOLIO WOULD RISE & FALL IN VALUE, UNDERSTOOD THERE WAS NO GUARANTEE AS PERFORMANCE AND (AFTER DISCUSSING OTHER OPTIONS) CLIENT PREFERRED TO INVEST IN FUNDS WITH POTENTIAL FOR GROWTH. FA INDICATED HE RECEIVED CALLS FROM CLIENT IN DEC, JAN AND MAR TO DISCUSS PERFORMANCE OF FUNDS AND HE AGAIN REITERATED THE RISK OF MARKET FLUCTUATION AND YOUR LONG-TERM (10 YR) TIME HORIZON. HE FURTHER STATED HE REMINDED YOU OF THE COMMISSION TAKEN ON THE FRONT-END WHICH WAS ALSO IMPACTING THE IMMEDIATE VALUE OF THE FUNDS. FA STATED HE WAS NEVER GIVEN ORDERS TO LIQUIDATE FUNDS UNTIL MARCH 13, 2008. THERE WERE SOME RESIDUAL DIVIDENDS WHICH RESULTED IN TWO ADDITIONAL CHECKS IN AMOUNT OF \$621.26 (ISSUED MARCH 24TH) & \$43.12 (ISSUED MARCH 25TH). BASED ON REVIEW, IT APPEARS FUNDS PURCHASED BASED ON DISCUSSIONS WITH FA & WITH CLIENT'S AUTHORIZATION. FURTHER, APPEARS CLIENT WAS MADE AWARE OF RISKS & NO GUARANTEE AS TO PERFORMANCE WAS MADE. CLIENT WOULD HAVE BEEN PROVIDED WITH TRADE CONFIRMATIONS & PROSPECTUSES AT THE TIME OF PURCHASE. FURTHER, WHILE A 10 YEAR TIME HORIZON WAS ESTABLISHED FOR THESE FUNDS, THE FUNDS WERE LIQUIDATED WITHIN APPROXIMATELY 5 MONTHS AT CLIENT'S DIRECTION. CLAIM DENIED.

Disclosure 2 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENTS STATE IN JULY AND AUGUST 2000 THEY ROLLED OVER THEIR EXISTING ANNUITIES HELD AT PAINE WEBBER TO HARTFORD ANNUITIES WITH EDWARD JONES BASED ON LEE'S RECOMMENDATION. THE CLIENT STATES HE WAS TOLD THAT MARKET EXPOSURE DURING THE TRANSITION WOULD BE INSIGNIFICANT. THE CLIENT STATES THE ANNUITY FUNDS SHOULD BE SPLIT 33/33/33 IN GROWTH, INTERMEDIATE AND FIXED. THE CLIENT STATES ALL THE ANNUITY FUNDS WERE PLACED IN GROWTH. THE CLIENT STATES HIS ANNUITY IS DOWN IN VALUE IN EXCESS OF \$5,000.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

07/28/2001

Complaint Pending?

No

Status:

Denied



Status Date: 08/28/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

LEE STATES HE REVIEWED ON SEVERAL OCCASSION THE 33/33/33 SPLIT AT THAT THEY HAD DETERMINED THIS MIX WOULD BE AMONG THE VARIOUS ACCOUNTS THE CLIENT HAD, NOT JUST WITHIN THE ANNUITIES THEY HAD JUST ESTABLISHED. LEE STATES THEY HAD ESTABLISHED THAT THE ANNUITY WOULD BE IN THE GROWTH SECTOR, GROWTH AND INCOME SHOULD BE IN THE CLIENT'S JOINT ACCOUNT AND FIXED INVESTMENTS SHOULD BE IN HIS IRA/401K ACCOUNT. LEE STATES THIS DIVERSIFICATION WAS DISCUSSED ON SEVERAL OCCASSION PRIOR TO THE CLIENT SIGNING THE ACKNOWLEDGEMENT LETTERS FOR THE 1035 EXCHANGES. IT APPEARS LEE FOLLOWED THE CLIENTS INSTRUCTIONS. CLAIM DENIED.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: THE CLIENTS HAVE PURCHASED FOUR 30 YEAR GOVT CMOS IN EACH IRA ACCOUNT. THE CLIENTS STATE THEY WERE NOT AWARE OF THE 30 YEAR MATURITY ON THESE CMOS. THE CLIENTS ALSO STATE THE 30 YEAR CMOS ARE NOT SUITABLE FOR THEIR INVESTMENT NEEDS. THE CLIENTS HAVE TRANSFERRED THEIR ACCOUNTS TO ANOTHER FIRM AND STATE THAT THE CMOS HAVE LOST APPROXIMATELY \$25,000 IN VALUE.

Product Type: Debt - Government

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 11/09/1999

Complaint Pending? No

Status: Denied

Status Date: 12/01/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE IR STATES HE DISCUSSED THE LONGER MATURITIES AND THE FACT THAT SINCE THEY WERE BACKED BY MORTGAGES THEY TYPICALLY HAVE A SHORTER AVERAGE LIFE. THE IR ALSO STATES HE DISCLOSED THE ESTATE FEATURE. THE IR STATES HE AGAIN COVERED THESE FEATURES WHEN REVIEWING THE CONFIRM WITH THE CLIENT. IT APPEARS THESE INVESTMENTS WERE IN LINE WITH THE CLIENTS STATED OBJECTIVES. CLAIM DENIED.



End of Report

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