IAPD Report

Adam Randy Vande Slunt

CRD# 3077867

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

Adam Randy Vande Slunt (CRD# 3077867)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	11/22/1999
IA	EDWARD JONES	CRD# 250	11/23/1999

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **20** 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	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO	07/28/1998 - 03/01/1999

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	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 **20** 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	11/22/1999
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	11/22/1999
B	Alabama	Agent	Approved	12/17/2009
B	Alaska	Agent	Approved	11/05/2019
B	Arizona	Agent	Approved	01/04/2010
B	California	Agent	Approved	05/12/2011
B	Colorado	Agent	Approved	12/08/2004
B	Florida	Agent	Approved	10/15/2002
B	Georgia	Agent	Approved	08/08/2023
B	Illinois	Agent	Approved	02/06/2006
B	Iowa	Agent	Approved	08/31/2010

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	03/22/2018
B	Massachusetts	Agent	Approved	12/20/2016
B	Michigan	Agent	Approved	01/31/2014
B	Minnesota	Agent	Approved	04/02/2003
B	Montana	Agent	Approved	11/01/2024
B	North Carolina	Agent	Approved	07/26/2021
B	Ohio	Agent	Approved	08/28/2025
B	Oklahoma	Agent	Approved	09/14/2021
B	Texas	Agent	Approved	10/26/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	03/12/2019
B	Utah	Agent	Approved	03/15/2021
B	Wisconsin	Agent	Approved	11/23/1999
IA	Wisconsin	Investment Adviser Representative	Approved	11/23/1999

Branch Office Locations

EDWARD JONES
114 Washington Ave
Waupun, WI 53963

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/27/1998

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/1998

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	07/28/1998 - 03/01/1999	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

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
11/1999 - 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.

Land rental in CREP
Type of business: rental 10 acres
Waupun, WI
Start date: 11/1/2008
Owner
Hours per week: 0
Hours during trading: 0
NO RESPONSIBILITIES
*
UNITED WISCONSIN GRAIN PRODUCERS LLC
Type of business: ETHANOL
Friesland, WI
Start date: 6/2/2008
LPT
Hours per week: 0
Hours during trading: 0
No responsibilities
*
Business Rental
Type of business: Rental
Waupun, WI
Start date: 10/1/2018
Owner
Hours per week: 0
Hours during trading: 0
Maintain property
*
Cottage
Type of business: Personal use cottage
Ripon, WI

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Start date: 5/13/2019
Green Lake
Hours per week: 0
Hours during trading: 0
Maintain property.
*
Rental
Type of business: Rental House
Waupun, WI
Start date: 9/1/2019
Owner
Hours per week: 0
Hours during trading: 0
Maintain property
*
Rental Land - Oxford
Type of business: Crop Land Rental
Oxford, WI
Start date: 6/1/2020
Owner
Hours per week: 0
Hours during trading: 0
Land owner
*
Rental - Land on Whooley
Type of business: Rental of crop land
Waupun, WI
Start date: 5/1/2019
Owner
Hours per week: 0
Hours during trading: 0
Rent farmland
*
Rental Land
Type of business: Farm Land Rental
Brandon, WI
Start date: 12/14/2020
Owner / Century LLC
Hours per week: 0
Hours during trading: 0
Owner of land.
*
Forcht Broadcasting Somerset 106
Type of business: Radio
Somerset, KY
Start date: 12/1/2017
Basketball Color Commentator
Hours per week: 4
Hours during trading: 0
Basketball game broadcaster

Registration & Employment History

OTHER BUSINESS ACTIVITIES

*
Yourdon Farms
Type of business: Farm
Augusta, KS
Start date: 4/1/2015
Owner
Hours per week: 2
Hours during trading: 0
Farming business
*
Forcht Broadcasting Somerset 106
Type of business: Radio
Somerset, KY
Start date: 8/4/2017
Football Color Commentator
Hours per week: 8
Hours during trading: 2
Broadcasting Somerset High School Football on Friday Nights.
*
Forcht Broadcasting Somerset 106
Type of business: Radio
Somerset, KY
Start date: 4/1/2021
Baseball Color Commentator
Hours per week: 4
Hours during trading: 1
Broadcasting Somerset High School Baseball
*
Shining Isle Productions - DBA Wingfeather Saga TV ser
Type of business: TV series
Franklin, TN
Start date: 5/17/2021
investor
Hours per week: 0
Hours during trading: 0
I am an angel investor in this book series to become a TV series
*
Rental - Galow to US Gov
Type of business: CRP Rental
Waupun, WI
Start date: 1/2/2023
Owner - Katie with Century LLC
Hours per week: 0
Hours during trading: 0
Land Owner - Maintenance

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	1

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 PURCHASED A HARTFORD VARIABLE UNIVERSAL LIFE POLICY IN DECEMBER 2003. CLIENT NOW CLAIMS SHE WAS UNAWARE OF THE "TRANSFER CHARGES" SHE WOULD INCUR AS A RESULT OF PURCHSING A NEW POLICY. CLIENT ALLEGES THE IR INFORMED HER THE POLICY WAS GUARANTEED. CLIENT STATES SHE WAS ORIGINALLY TOLD THE POLICY WOULD BE IN EFFECT UNTIL SHE WAS 80 AND HAS NOW DISCOVERED IT WILL LAPSE WHEN SHE IS 72. CLIENT FURTHER STATES SHE DID NOT COMPLETE THE APPLICATION AND WAS NOT INFORMED OF THE FREE-LOOK PROVISION. CLIENT ALLEGES SHE WOULD NOT HAVE PURCHASED THE POLICY HAD SHE BEEN AWARE OF THE "TRANSFER CHARGES", COSTS OF INSURANCE, AND THE POLICY LAPSE AT AGE 72.
Product Type:	Insurance
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	11/30/2004
Complaint Pending?	No
Status:	Denied
Status Date:	01/12/2005
Settlement Amount:	

Individual Contribution Amount:	
Broker Statement	ACCORDING TO THE IR, IT IS HIS PRACTICE TO DISCLOSE ALL FEES AND COMMISSIONS TO CLIENTS. HE HAS INDICATED HE BELIEVED THE CLIENT'S INTENT WAS TO LEAVE THE DEATH BENEFIT OF THE POLICY TO HER CHILDREN. HE HAS FURTHER INDICATED HE THOROUGHLY DISCUSSED THE POLICY WITH THE CLIENT PRIOR TO THE PURCHASE. LETTERS WERE SIGNED REQUESTING THE COMPANIES NOT MAKE ANY CONSERVATION EFFORTS RELATED TO THE POLICIES THAT WERE SURRENDERED TO FACILITATE THE EXCHANGES. ACCORDING TO OUR RECORDS, THE CLIENT SIGNED AN ILLUSTRATION ON SEPTEMBER 5, 2004. THE ILLUSTRATION PROVIDES INFORMATION REGARDING THE POLICY TO INCLUDE THE COSTS ASSOCIATED WITH COVERAGE AS WELL AS INFORMATION RELATED TO THE NO LAPSE GUARANTEE. AN APPLICATION WAS ALSO COMPLETED AS WELL AS THE REQUIRED REPLACEMENT FORMS. THE CLIENT'S SIGNATURE ON THE APPLICATION INDICATES THE INFORMATION REPORTED WAS REVIEWED AND ALSO VERIFIED THE ACCURACY OF SAID INFORMATION. IN ADDITION, THE APPLICATION ALSO CONTAINS LANGUAGE, WHICH WOULD EVIDENCE A PROSPECTUS WAS PROVIDED TO THE CLIENT.. A POLICY DELIVERY RECEIPT WAS ALSO SIGNED WHEN THE POLICY WAS DELIVERED TO THE CLIENT.. BASED ON OUR REVIEW, IT IS OUR OPINION THE APPROPRIATE DISCLOSURES WERE MADE AT THE TIME THE POLICY WAS PURCHASED. IN ADDITION TO ANY CONVERSATIONS THE CLIENT HAD WITH THE IR REGARDING THE POLICY, DISCLOSURE WAS ALSO MADE IN THE DOCUMENTATION REQUIRED TO FACILITATE THE EXCHANGES. CLAIM DENIED.

End of Report

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