



## IAPD Report

# Richard Brian Griep

CRD# 3104589

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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

### Richard Brian Griep (CRD# 3104589)

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 **01/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	10/22/1998
<b>IA</b>	EDWARD JONES	CRD# 250	12/10/1998

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **25** 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
Criminal	1
Customer Dispute	1
Termination	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 **25** 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>B</b>	FINRA	General Securities Representative	Approved	10/22/1998
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	09/14/2011
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	11/10/1998
<b>B</b>	Alabama	Agent	Approved	08/29/2019
<b>B</b>	Arizona	Agent	Approved	01/08/1999
<b>B</b>	Arkansas	Agent	Approved	02/15/2011
<b>B</b>	California	Agent	Approved	06/10/2008
<b>B</b>	Colorado	Agent	Approved	01/04/2021
<b>B</b>	Connecticut	Agent	Approved	12/06/2016
<b>B</b>	Florida	Agent	Approved	01/11/1999
<b>B</b>	Illinois	Agent	Approved	12/10/1998
<b>B</b>	Kansas	Agent	Approved	11/14/2019



### Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	03/08/2007
B Minnesota	Agent	Approved	11/16/2001
B Mississippi	Agent	Approved	02/09/2018
B Missouri	Agent	Approved	03/09/2004
B Montana	Agent	Approved	02/02/2018
B New Mexico	Agent	Approved	01/11/1999
B North Carolina	Agent	Approved	04/01/2021
B Ohio	Agent	Approved	11/30/2018
B Oregon	Agent	Approved	08/21/2012
B Pennsylvania	Agent	Approved	03/11/2005
B South Carolina	Agent	Approved	07/29/2021
B Texas	Agent	Approved	12/21/2005
IA Texas	Investment Adviser Representative	Restricted Approval	03/10/2019
B Utah	Agent	Approved	09/19/2019
B Virginia	Agent	Approved	03/20/2006
B Washington	Agent	Approved	06/10/2005
B Wisconsin	Agent	Approved	12/10/1998
IA Wisconsin	Investment Adviser Representative	Approved	12/10/1998



## Qualifications

### Branch Office Locations

#### **EDWARD JONES**

203 CORPORATE DR STE 200  
BEAVER DAM, WI 53916



## 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	10/16/1998
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	12/01/1998
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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
07/1998 - Present	EDWARD D. JONES & CO., L.P.	OTHER - **AGENT(HAS ANOTHER RECORD #31	Y	JANESVILLE, WI, 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.

RUGGED OUTDOORS INC.  
 MAILBOXES/SHELVING UNITS  
 ROSCOE, IL  
 STARTED:JUNE 1998  
 POSITION:VICE PRESIDENT/SECRETARY  
 1 HOUR SPENT - TRADING HOURS  
 1 HOUR SPENT - PER WEEK

JK LORIC LLC  
 Type of business: Rental property  
 Beaver Dam, WI  
 Start date: 2/14/2013  
 Member  
 Hours per week: 0  
 Hours during trading: 0  
 Hire property management to rent unit to tenant, pay monthly bills associated with the rental unit (mortgage, utilities, HOA, etc.).

Colibri Casa LLC  
 Type of business: Rental property in Arizona  
 Beaver Dam, WI  
 Start date: 1/2/2018  
 Manager  
 Hours per week: 0  
 Hours during trading: 1  
 LLC manages this property in Cave Creek, AZ.



## 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
Termination	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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	SHOPKO, STATE OF WISCONSIN ROCK COUNTY COURTHOUSE 81-CR-310C
<b>Charge Date:</b>	03/19/1981
<b>Charge Details:</b>	THEFT OF A CAR STEREO APPROXIMATE \$100.00 VALUE.
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	04/07/1981
<b>Disposition Details:</b>	MISDEMEANOR THEFT PD 100.00 FINE, CASE CLOSED.
<b>Broker Statement</b>	Not Provided



## 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 CLAIMS THE IR DID NOT PROPERLY INFORM HER OF THE TAX CONSEQUENCES ASSOCIATED WITH AN ANNUITY THAT WAS SURRENDERED. CLIENT ALLEGES AS A RESULT OF COMPLETING TRANSACTIONS BASED ON THE IR'S ADVICE ADDITIONAL COSTS (TAX LIABILITIES, LEGAL FEES, ETC) WERE INCURRED IN THE AMOUNT OF \$22,934.00.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$22,934.00

### Customer Complaint Information

**Date Complaint Received:** 04/22/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/04/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

ACCORDING TO THE IR, THE CLIENT'S SON CONTACTED HIM ON DECEMBER 15, 2004 TO DISCUSS THE POSSIBILITY OF LIQUIDATING THE ANNUITIES TO OFFSET LOSSES AND AN APPOINTMENT WAS SCHEDULED (WITH THE CLIENT'S SON AND THE CLIENT) FOR DECEMBER 17, 2004. THE IR HAS INDICATED WHEN HE ARRIVED AT THE APPOINTMENT; THE CLIENT'S SON HAD CALCULATED THE POSSIBLE TAX CONSEQUENCES OF LIQUIDATING THE ANNUITIES AND QUESTIONED IF THE IR AGREED WITH HIS REASONS FOR LIQUIDATING. THE IR HAS FURTHER INDICATED HE EXPLAINED IT SOUNDED AS THOUGH LIQUIDATING THE ANNUITIES WOULD ACCOMPLISH THE CLIENT'S GOAL, BUT SUGGESTED SHE CONSULT WITH A QUALIFIED TAX PROFESSIONAL TO DISCUSS POTENTIAL TAX CONSEQUENCES PRIOR TO PROCEEDING WITH THE LIQUIDATIONS. IT IS UNDERSTOOD TWO OF THE ANNUITIES WERE LIQUIDATED PRIOR TO YEAR-END 2004 AND ONE WAS LIQUIDATED IN 2005. APPARENTLY, AFTER HAVING HER TAXES COMPLETED FOR 2004, THE CLIENT DISCOVERED THE GAINS COULD NOT BE UTILIZED TO OFFSET LOSSES. ACCORDING TO RESEARCH PERFORMED BY THE LOCAL BRANCH OFFICE STAFF AND THE INSURANCE SERVICES DEPARTMENT (IN FEBRUARY 2005), THE ANNUITY IN QUESTION WAS A 1035 EXCHANGE FROM ANOTHER CONTRACT. AS MFS WAS UNABLE TO OBTAIN COST BASIS INFORMATION FROM THE PREVIOUS COMPANY, THE COST BASIS WAS CONSIDERED ZERO. IT IS



UNDERSTOOD THE BRANCH OFFICE STAFF WAS ABLE TO OBTAIN PAPERWORK FROM THE PREVIOUS BROKERAGE REGARDING THE EXCHANGES AND COPIES OF THE PAPERWORK WERE PROVIDED TO MFS TO REQUEST A CORRECTED 1099 BE ISSUED. EXPLAINED WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE ADDITIONAL TAX LIABILITY, THE ANNUITIES APPEAR TO HAVE BEEN LIQUIDATED AT THE CLIENT'S REQUEST. FURTHERMORE, THE IR APPARENTLY ADVISED THE CLIENT THAT HE WAS UNABLE TO PROVIDE TAX ADVICE AND SUGGESTED THE CLIENT CONSULT WITH A QUALIFIED PROFESSIONAL BEFORE PROCEEDING WITH THE LIQUIDATIONS. CLAIM DENIED.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Firm Name:** SHOPKO

**Termination Type:** Permitted to Resign

**Termination Date:** 04/07/1981

**Allegations:** 81-CR-310C  
A STEREO WAS STOLEN FROM PLACE OF EMPLOYMENT (SHOPKO).

**Product Type:**

**Other Product Types:**

**Broker Statement** THE CHARGE WAS A MISDEMEANOR THEFT. RICHARD GRIEP PAID A FINE OF \$100.00 AND WAS PERMITTED TO RESIGN FROM PLACE OF EMPLOYMENT (SHOPKO). A STEREO WAS STOLEN FROM PLACE OF EMPLOYMENT (SHOPKO). RICHARD GRIEP PAID A FINE OF \$100.00 AND THE CASE WAS CLOSED.



## End of Report

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