IAPD Report

Gregory Robert Grimshaw

CRD# 3159496

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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

Gregory Robert Grimshaw (CRD# 3159496)

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 **08/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/11/1999
IA	EDWARD JONES	CRD# 250	01/19/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **32** 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

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 **32** 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	01/11/1999
B	NYSE American LLC	General Securities Representative	Approved	09/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	03/08/1999
B	Alabama	Agent	Approved	09/08/2020
B	Arizona	Agent	Approved	10/31/2002
B	California	Agent	Approved	03/15/1999
B	Colorado	Agent	Approved	09/27/2021
B	Connecticut	Agent	Approved	06/29/2009
B	Delaware	Agent	Approved	11/24/2008
B	Florida	Agent	Approved	03/16/1999
B	Georgia	Agent	Approved	03/15/1999
B	Illinois	Agent	Approved	06/29/2009

User Guidance

www.adviserinfo.sec.gov

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	01/26/2009
B	Kentucky	Agent	Approved	11/10/2004
B	Maine	Agent	Approved	03/29/2024
B	Maryland	Agent	Approved	10/06/2008
B	Massachusetts	Agent	Approved	11/12/2008
B	Michigan	Agent	Approved	06/08/2007
B	Minnesota	Agent	Approved	04/06/2011
B	Missouri	Agent	Approved	08/29/2025
B	Nebraska	Agent	Approved	10/21/2022
B	New Hampshire	Agent	Approved	11/24/2010
B	New Jersey	Agent	Approved	07/19/2006
B	New York	Agent	Approved	11/19/2004
B	North Carolina	Agent	Approved	02/09/1999
IA	North Carolina	Investment Adviser Representative	Approved	01/19/2007
B	Ohio	Agent	Approved	05/07/2007
B	Oklahoma	Agent	Approved	12/11/2024
B	Pennsylvania	Agent	Approved	09/05/2001
B	South Carolina	Agent	Approved	10/06/1999
B	Tennessee	Agent	Approved	04/03/2017

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	11/16/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	08/27/2014
B	Utah	Agent	Approved	09/14/2016
B	Virginia	Agent	Approved	05/23/2024
B	West Virginia	Agent	Approved	01/08/2007
B	Wyoming	Agent	Approved	09/16/2020

Branch Office Locations

EDWARD JONES
293 OLMSTED BLVD SUITE 6
PINEHURST, NC 28374-0000

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
	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	01/09/1999

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/29/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1999

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:

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
11/1998 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	PINEHURST, NC, 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.

No information reported.

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:	FROM 4/1/2011 TO 4/23/2012 CLIENT STATES SHE RECEIVED 14,400 SHARES OF IBM FROM HER FATHER WHO HAD PASSED AWAY IN JANUARY, 2011. CLIENT INDICATES THEY WERE RELUCTANT TO MAKE ANY CHANGES TO THE PORTFOLIO. THE FINANCIAL ADVISOR ADVISED TO INVEST IBM IN TWO DIFFERENT FUND COMPANIES, MFS AND AMERICAN, WHICH HE CLAIMED WOULD PROVIDE BETTER INCOME AND APPRECIATION AND AT NO COST. CLIENT STATES IBM IS UP 22% SINCE SHE SOLD THE STOCK AND FINANCIAL ADVISOR DID NOT INFORM HER OF THE 1% LIQUIDATION CHARGE FOR SELLING OUT OF AMERICAN AND MFS. CLIENT IS SEEKING THE RETURN OF HER IBM STOCK.
Product Type:	No Product
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES TO BE IN EXCESS OF $5000.00
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: 04/24/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/10/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement AS DISCUSSED WITH CLIENT ON THE TELEPHONE, THE IBM STOCK TRANSACTIONS TOOK PLACE ON APRIL 14, 2011, AND WE BELIEVE THE TRANSACTIONS WERE AUTHORIZED. AS SUCH, WE WILL NOT BE OFFERING TO MAKE AN ADJUSTMENT TO THE IBM TRANSACTIONS THAT TOOK PLACE OVER ONE YEAR AGO. ACCORDING TO THE FINANCIAL ADVISOR, AMERICAN FUNDS AND MFS FUNDS WERE DISCUSSED AND THE ONE-MILLION DOLLAR BREAKPOINT WAS REACHED FOR EACH FUND COMPANY. FINANCIAL ADVISOR HAS STATED HE REVIEWED THAT MUTUAL FUNDS ARE INTENDED TO BE HELD LONG-TERM AND HE DISCUSSED THE CDSC FOR LIQUIDATING THE MUTUAL FUNDS. IN ADDITION, CLIENT WAS NOTIFIED ON THE TRADE
CONFIRMATIONS THAT THERE MAY BE A SALES CHARGE WHEN SELLING THE MUTUAL FUNDS AND THE CDSC WAS ALSO DISCLOSED IN THE PROSPECTUSES. IT IS OUR UNDERSTANDING THERE WAS A MISUNDERSTANDING ON THE LENGTH OF TIME THE CDSC WAS APPLICABLE WITH MFS AND ALSO WITH FRANKLIN FUNDS (WHERE CLIENT ADDED $200,000.00 TO THE MINNESOTA TAX-FREE FUND). PURSUANT TO MY TELEPHONE CONVERSATION ON JUNE 6, 2012 WITH THE CLIENT, A SETTLEMENT OFFER WAS EXTENDED TO REIMBURSE THE CDSC ASSOCIATED WITH THE MFS MONEY MARKET FUND AND FRANKLIN MN TAX FREE FUND, IF THE SHARES (SUBJECT TO THE CDSC) ARE SOLD. THE FIRM RESOLVED THIS MATTER AT NO COST TO THE CLIENT.

Disclosure 2 of 2

Reporting Source: Regulator

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

Allegations: BREACH OF FIDUCIARY DUTY; FAILURE OF DUTY TO ADVISE NOT TO INVEST; AND UNSUITABILITY

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: $38,300.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #11-00210

Date Notice/Process Served: 01/18/2011

Arbitration Pending? No

Disposition: Award

Disposition Date: 02/08/2012

Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE SUM OF $38,300.50, PRE-JUDGMENT INTEREST SPECIFICALLY DENIED.

Reporting Source: Individual

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

Allegations: 3/04-3/09; CLIENT STATES SHE BEGAN INVESTING WITH OUR FIRM IN MARCH 2004. CLIENT STATES FA RECOMMENDED INVESTING IN 2/3 EQUITIES AND 1/3 FIXED WHICH SHE STATES IS INAPPROPRIATE FOR A PERSON HER AGE. CLIENT STATES SHE HAS LOST ROUGHLY $100,000 AND WOULD LIKE TO BE MADE WHOLE. *****ARBITRATION: CLAIMANT ALLEGES THAT SHE TRANSFERRED HER INVESTMENTS TO EDWARD JONES FROM WACHOVIA SECURITIES IN 2004 AND THAT HER EDWARD JONES BROKER RECOMMENDED THAT SHE INVEST IN ALLEGEDLY UNSUITABLE MUTUAL FUNDS AND A VARIABLE ANNUITY. SHE ALSO CLAIMS TO HAVE INVESTED IN OTHER UNSUITABLE MUTUAL FUNDS IN 2007. (AMOUNT CLAIMED: $45,462.27 PLUS ATTORNEY FEES AND INTEREST.)

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: $100,000.00

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: 03/01/2010

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/05/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-00210

Date Notice/Process Served: 02/04/2011

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/08/2012

Monetary Compensation Amount:	$38,300.50
Individual Contribution Amount:	$0.00
Broker Statement	ACCORDING TO OUR RECORDS, THE ACCOUNTS WERE ESTABLISHED IN 2004. OUR RECORDS REFLECT CASH WAS TRANSFERRED INTO EACH OF THE ACCOUNTS FROM ANOTHER FIRM. THE CASH DEPOSITED TO BOTH ACCOUNTS WAS UTILIZED TO PURCHASE A BLEND OF MUTUAL FUNDS IN APRIL 2004. THE FA HAS INDICATED HIS CONVERSATIONS WITH THE CLIENT REGARDING THE MUTUAL FUNDS INCLUDED THE RISKS OF MARKET FLUCTUATION. AT THE TIME OF THE AFOREMENTIONED PURCHASES, YOU WOULD HAVE RECEIVED CONFIRMATIONS AS WELL AS THE APPROPRIATE MUTUAL FUNDS PROSPECTUSES. IN ADDITION, ALL ACTIVITY HAS BEEN REFLECTED ON ACCOUNT STATEMENTS. FURTHER, IT DOES NOT APPEAR ANY OF THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNTS ARE OUTSIDE THE SCOPE OF THE OBJECTIVES. WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT RELATED TO THE DECLINE IN THE VALUE OF THE ACCOUNTS DURING THE TIME PERIOD SPECIFIED (EARLY 2008 THROUGH MARCH 2009). UNFORTUNATELY, WE EXPERIENCED A PERIOD OF UNPRECEDENTED MARKET CONDITIONS WHICH HAD A SIGNIFICANT IMPACT ON VALUATIONS. IN ADDITION, THE CLIENT HAS CONSISTENTLY TAKEN WITHDRAWALS FROM THE ACCOUNTS. THE FA HAS INDICATED HE AND THE CLIENT DISCUSSED THE CLIENTS CONCERNS RELATED TO THE MARKET DECLINE AND HE ENCOURAGED HER TO REMAIN INVESTED. OUR RECORDS REFLECT BOTH ACCOUNTS WERE TRANSFERRED TO ANOTHER FIRM IN MARCH 2009. BASED ON OUR REVIEW, IT IS OUR OPINION THE TRANSACTIONS EFFECTED IN THE ACCOUNT WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION. IN ADDITION, IT WOULD SEEM IF THERE WERE ANY ISSUES WITH THE ACCOUNTS, WE WOULD HAVE BEEN CONTACTED IN A MORE TIMELY MANNER. THEREFORE, WE ARE RESPECTFULLY DENYING THE CLIENT'S REQUEST FOR A REIMBURSEMENT OF LOSSES (REALIZED AND/OR UNREALIZED) INCURRED. ARBITRATION RESOLUTION: PANEL AWARDED DAMAGES OF $38,300.50, DISMISSED CLAIM AS TO LOSSES ON LINCOLN NATIONAL ANNUITY, DENIED REQUEST FOR ATTORNEY FEES

End of Report

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