



IAPD Report

Nicholas James Lamia Jr

CRD# 3269125

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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

Nicholas James Lamia Jr (CRD# 3269125)

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 **03/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	09/23/1999
IA	EDWARD JONES	CRD# 250	04/17/2007

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
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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	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 **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	09/23/1999
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	01/11/2007
B Alaska	Agent	Approved	04/25/2024
B Arizona	Agent	Approved	02/12/2008
B California	Agent	Approved	10/25/2012
B Colorado	Agent	Approved	01/17/2007
B Florida	Agent	Approved	01/17/2007
B Georgia	Agent	Approved	10/23/2012
B Illinois	Agent	Approved	01/17/2007
B Indiana	Agent	Approved	01/17/2007
B Kentucky	Agent	Approved	10/19/2012



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	10/29/2012
B Maryland	Agent	Approved	10/24/2012
B Michigan	Agent	Approved	10/23/2012
B Missouri	Agent	Approved	11/23/1999
IA Missouri	Investment Adviser Representative	Approved	04/17/2007
B Nevada	Agent	Approved	10/23/2012
B New York	Agent	Approved	08/08/2021
B Ohio	Agent	Approved	02/07/2012
B Oregon	Agent	Approved	01/16/2007
B Texas	Agent	Approved	07/12/2010
IA Texas	Investment Adviser Representative	Restricted Approval	08/26/2014
B Washington	Agent	Approved	10/23/2012
B Wisconsin	Agent	Approved	10/19/2012

Branch Office Locations

EDWARD JONES
600 EMERSON ROAD SUITE 100
ST LOUIS, MO 63141



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
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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	09/21/1999
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	04/03/2007
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 Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1999
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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
07/1999 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	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.

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
Criminal	1
Customer Dispute	2

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:	ST LOUIS COUNTY CIRCUIT COURT ST LOUIS, MO MC02576 91CR-30622
Charge Date:	02/12/1991
Charge Details:	1 CHARGE PROPERTY DAMAGE 1ST DEGREE - FELONY 1 CHARGE PROPERTY DAMAGE 2ND DEGREE - MISDEMEANOR AN ORDER OF NOLLE PROSEQUI WAS ENTERED
Felony?	Yes
Current Status:	Final
Status Date:	04/19/1991
Disposition Details:	BOTH CHARGES AGAINST ME WERE DISMISSED AND AN ORDER OF NOLLE PROSEQUI WAS ENTERED. I WAS NOT PENALIZED IN ANY WAY. SOME OF THE OTHERS INVOLVED WERE TAKEN TO COURT BUT I WAS NOT.



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: CLIENT STATES THEY HAD AN ANNUITY MATURE IN THE AMOUNT OF \$155,000. CLIENT ALLEGES IR DID NOT ADVISE OF THE TAX CONSEQUENCES PRIOR TO PUTTING FUNDS IN BANK AMERICA NOTES AND FREDDIE MACS. CLIENT STATES HIS TAX BILL FOR 2002 WAS \$63,000 AND THAT CLIENT HAD TO SELL \$55,000 OF THE FREDDIE MAC INVESTMENT TO PAY THE TAXES. CLIENT ALSO STATES THAT HE WILL ALSO LOSE \$300/MONTH IN INCOME. ALLEGED DAMAGES EXCEED \$5,000.

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/21/2003

Complaint Pending? No

Status: Denied

Status Date: 06/26/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO IR, WHEN DISCUSSING THE OPTIONS AVAILABLE TO CLIENTS UPON MATURITY OF THE ANNUITY, IR INDICATED THREE DIFFERENT OPTIONS TO CLIENTS FOR INVESTING THE MATURED ANNUITY PROCEEDS. IR STATED THAT HE ONLY GAVE INVESTMENT OPTIONS TO CLIENTS REGARDING THE MATURED ANNUITY AND PROVIDED NO TAX ADVICE IN CONNECTION WITH THE MATTER. IR ALSO INDICATED THAT CLIENTS MENTIONED THEY WORKED CLOSELY WITH A TAX PROFESSIONAL. AFTER FURTHER DISCUSSING THE OPTIONS, IR INDICATED CLIENTS ELECTED TO ROLL THE PROCEEDS INTO THE INVESTMENTS MENTIONED IN CLIENT'S LETTER. ACCORDING TO IR, BASED UPON THEIR CONVERSATIONS, IR BELIEVED CLIENTS HAD DISCUSSED ANY ISSUES SURROUNDING TAX CONSEQUENCES WITH THEIR TAX ADVISOR PRIOR TO MAKING THE INVESTMENT DECISIONS NOTED IN CLIENTS' COMPLAINT. CLAIM DENIED.

Disclosure 2 of 2

Reporting Source: Individual



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

Allegations: CLIENT CLAIMS HE PURCHASED A MET LIFE ANNUITY IN MAY OF 2001 AND PURCHASED IT BASED ON THE GUARANTEED RETURN FEATURE. CLIENT CLAIMS HE BELIEVED THIS WAS A FEATURE OF THE INVESTMENT AND DID NOT UNDERSTAND THIS WAS AN OPTION WHICH HE HAD TO SELECT. CLIENT IS ASKING FOR THIS TO BE CORRECTED. CLAIM EXCEEDS \$5,000

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/11/2003

Complaint Pending? No

Status: Settled

Status Date: 08/24/2003

Settlement Amount: \$5,150.00

Individual Contribution Amount: \$2,500.00

Broker Statement

IR INDICATED HE BELIEVED HE HAD ESTABLISHED THE ANNUITY AS DIRECTED AND DID BELIEVE THE GUARANTEED MINIMUM INCOME BENEFIT RIDER (GIB) WAS SELECTED FOR THE ANNUITY CONTRACT ISSUED ON MAY 25, 2001, IN THE ORIGINAL PRINCIPAL AMOUNT OF \$50,000. HOWEVER, THE GIB RIDER WAS NOT ACTIVATED ON THIS CONTRACT. THE INSURANCE COMPANY STATED THE GIB RIDER COULD NOT BE ADDED TO THE CURRENT CONTRACT. THEREFORE, A NEW CONTRACT WITH THE GIB RIDER WAS ESTABLISHED AND AN OFFER CONVEYED TO THE CLIENTS TO SURRENDER THE ORIGINAL CONTRACT AND RE-ISSUE A NEW CONTRACT IN THE ORIGINAL PRINCIPAL AMOUNT OF \$50,000. SPECIFIC ISSUES REGARDING THIS OFFER HAVE BEEN CONVEYED TO THE CLIENT FOR THEIR REVIEW IN DETERMINING IF THEY WISH TO ACCEPT OUR OFFER. CLIENT AGREED TO ACCEPT AN OFFER IN THE AMOUNT OF \$5,150, OF WHICH A PORTION WOULD BE USED TO MAKE UP THE MARKET LOSS ON THE SURRENDER OF THE ORIGINAL CONTRACT. ACCORDING TO THE INSURANCE COMPANY, THE NEW CONTRACT HAS BEEN ISSUED IN THE PRINCIPAL AMOUNT OF \$50,000 AND CONTAINS THE GIB RIDER. ADDITIONALLY, THEY HAVE INDICATED A CONTRACT ON THE NEW POLICY WILL BE DELIVERED TO THE CLIENT. THE MARKET LOSS WAS IN THE AMOUNT OF \$1,932.55 (\$50,000 ORIGINAL PRINCIPAL - \$48,067.45 SURRENDER AMOUNT OF ORIGINAL CONTRACT). AS AGREED, WE ARE SENDING CLIENT A CHECK FOR THE BALANCE OF THE SETTLEMENT OFFER IN THE AMOUNT OF \$3,217.45 (\$5,150.00 - \$1,932.55). THE CHECK WILL BE ISSUED AND MAILED TO CLIENT AT THE ADDRESS OF RECORD.



End of Report

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