



IAPD Report

JAMES GORDON TEGTMEIER-HEDINGER

CRD# 4042452

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

JAMES GORDON TEGTMEIER-HEDINGER (CRD# 4042452)

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 **07/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	10/29/2024
IA	EDWARD JONES	CRD# 250	10/29/2024

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **2** 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	OSAIC WEALTH, INC.	23131	SCOTTSDALE, AZ	03/07/2022 - 10/28/2024
B	TRIAD ADVISORS LLC	25803	ATLANTA, GA	03/07/2022 - 08/23/2024
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	03/07/2022 - 06/14/2024

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
Financial	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 2 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
	FINRA	General Securities Principal	Approved	10/29/2024
	FINRA	General Securities Representative	Approved	10/29/2024
	FINRA	Invest. Co and Variable Contracts	Approved	10/29/2024
	FINRA	Municipal Securities Principal	Approved	10/29/2024
	FINRA	Municipal Securities Representative	Approved	10/29/2024
	FINRA	Operations Professional	Approved	10/29/2024
	FINRA	Registered Options Principal	Approved	10/29/2024
	FINRA	General Securities Sales Supervisor	Approved	11/06/2024
	NYSE American LLC	General Securities Principal	Approved	10/29/2024
	NYSE American LLC	General Securities Representative	Approved	10/29/2024
	NYSE American LLC	Municipal Securities Principal	Approved	10/29/2024
	NYSE American LLC	Municipal Securities Representative	Approved	10/29/2024
	NYSE American LLC	Registered Options Principal	Approved	10/29/2024



Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Sales Supervisor	Approved	11/06/2024
B	Nasdaq Stock Market	General Securities Principal	Approved	10/29/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	10/29/2024
B	Nasdaq Stock Market	Registered Options Principal	Approved	10/29/2024
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/06/2024
B	New York Stock Exchange	General Securities Principal	Approved	10/29/2024
B	New York Stock Exchange	General Securities Representative	Approved	10/29/2024
B	New York Stock Exchange	Municipal Securities Principal	Approved	10/29/2024
B	New York Stock Exchange	Municipal Securities Representative	Approved	10/29/2024
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	11/06/2024
B	California	Agent	Approved	10/29/2024
IA	California	Investment Adviser Representative	Approved	10/29/2024
IA	Texas	Investment Adviser Representative	Approved	01/02/2026
B	Texas	Agent	Approved	01/05/2026

Branch Office Locations

EDWARD JONES
Dallas, TX



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 5 principal/supervisory exams, 6 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/06/2024
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/06/2024
B Municipal Securities Principal Examination (S53)	Series 53	09/20/2017
B Registered Options Principal Examination (S4)	Series 4	10/14/2008
B General Securities Principal Examination (S24)	Series 24	08/24/2001

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	01/05/2018
B National Commodity Futures Examination (S3)	Series 3	05/09/2008
B General Securities Representative Examination (S7)	Series 7	04/24/2000
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/08/1999



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/17/2023
IA	B Uniform Combined State Law Examination (S66)	Series 66	06/04/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/11/1999

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:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/07/2022 - 10/28/2024	OSAIC WEALTH, INC.	CRD# 23131	SCOTTSDALE, AZ
B	03/07/2022 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	ATLANTA, GA
B	03/07/2022 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	03/07/2022 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	03/07/2022 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	03/04/2022 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	06/25/2019 - 07/17/2020	SECURITIES MANAGEMENT & RESEARCH, INC.	CRD# 759	CEDAR RAPIDS, IA
B	05/21/2019 - 07/17/2020	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	Urbandale, IA
B	08/08/2016 - 01/05/2018	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	WEST DES MOINES, IA
B	07/27/2012 - 08/05/2016	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	DES MOINES, IA
B	07/27/2012 - 08/05/2016	VOYA FINANCIAL PARTNERS, LLC	CRD# 34815	DES MOINES, IA
B	06/05/2008 - 07/11/2012	BEST DIRECT SECURITIES, LLC	CRD# 146053	CEDAR FALLS, IA
IA	06/08/2007 - 03/20/2008	WORKMAN SECURITIES CORPORATION	CRD# 31898	INDEPENDENCE, IA
B	10/16/2006 - 03/20/2008	WORKMAN SECURITIES CORPORATION	CRD# 31898	INDEPENDENCE, IA
B	04/25/2000 - 02/06/2006	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA
B	11/09/1999 - 02/14/2000	GMAC INVESTMENT SERVICES, INC.	CRD# 47391	BLOOMINGTON, MN



Registration & Employment History



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
10/2024 - Present	Edward Jones	Branch Auditor-Remote	Y	St. Louis, MO, United States
06/2024 - 12/2025	Your Car Our Driver	Professional Driver	Y	Newport Beach, CA, United States
03/2022 - 10/2024	Osaic Wealth (Formerly known as Advisor Group)	Regional Supervision Manager	Y	Phoenix, AZ, United States
08/2021 - 02/2022	CHI Mercy Health Network	ER Technician/EMT	N	Des Moines, IA, United States
04/2021 - 07/2021	Unemployed while obtaining EMT Certification	EMT Trainee(non-employee)	N	Des Moines, IA, United States
09/2020 - 03/2021	US Department of Veteran Affairs	Medical Technician	N	Des Moines, IA, United States
07/2020 - 09/2020	Unity Point Health	Lab Support Tech	N	Des Moines, IA, United States
05/2019 - 07/2020	Berthel, Fisher & Company Financial Services, Inc.	Auditor-Remote	Y	Cedar Rapids, IA, United States
01/2018 - 03/2019	Student	Student	N	Des Moines, IA, United States
08/2016 - 01/2018	Broker Dealer Financial Services	Compliance Specialist	Y	WEST DES MOINES, IA, 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
Financial	1

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	10/19/2021
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	U.S. Bankruptcy Court Southern District of Iowa
Location of Court:	Des Moines, IA
Docket/Case #:	21-01378-als7
Action Pending?	No
Disposition:	Discharged
Disposition Date:	01/19/2022
Broker Statement	This was a single debtor filing of primarily medical-related liabilities - fully discharged under bankruptcy rights.



End of Report

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