



## IAPD Report

# James Zebedee Burgess Jr

CRD# 4131086

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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

### James Zebedee Burgess Jr (CRD# 4131086)

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 **08/30/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	04/04/2000
<b>IA</b>	EDWARD JONES	CRD# 250	02/16/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **50** 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
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 **50** 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	04/04/2000
<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	05/30/2000
<b>B</b> Alabama	Agent	Approved	10/05/2004
<b>B</b> Alaska	Agent	Approved	08/03/2023
<b>B</b> Arizona	Agent	Approved	06/11/2001
<b>B</b> Arkansas	Agent	Approved	09/24/2003
<b>B</b> California	Agent	Approved	08/11/2008
<b>B</b> Colorado	Agent	Approved	01/13/2014
<b>B</b> Connecticut	Agent	Approved	10/23/2013
<b>B</b> Delaware	Agent	Approved	09/26/2011
<b>B</b> District of Columbia	Agent	Approved	09/30/2015



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Florida	Agent	Approved	02/04/2002
<b>B</b> Georgia	Agent	Approved	04/24/2000
<b>IA</b> Georgia	Investment Adviser Representative	Approved	02/16/2007
<b>B</b> Hawaii	Agent	Approved	12/11/2019
<b>B</b> Illinois	Agent	Approved	03/10/2011
<b>B</b> Indiana	Agent	Approved	05/22/2007
<b>B</b> Iowa	Agent	Approved	09/16/2019
<b>B</b> Kansas	Agent	Approved	12/02/2020
<b>B</b> Kentucky	Agent	Approved	06/13/2016
<b>B</b> Louisiana	Agent	Approved	02/16/2012
<b>B</b> Maine	Agent	Approved	08/14/2007
<b>B</b> Maryland	Agent	Approved	10/05/2010
<b>B</b> Massachusetts	Agent	Approved	04/07/2003
<b>B</b> Michigan	Agent	Approved	04/04/2005
<b>B</b> Minnesota	Agent	Approved	02/28/2014
<b>B</b> Mississippi	Agent	Approved	08/03/2023
<b>B</b> Missouri	Agent	Approved	04/11/2005
<b>B</b> Montana	Agent	Approved	05/09/2018
<b>B</b> Nebraska	Agent	Approved	02/18/2014



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nevada	Agent	Approved	07/17/2017
<b>B</b> New Hampshire	Agent	Approved	06/28/2005
<b>B</b> New Jersey	Agent	Approved	12/02/2011
<b>B</b> New Mexico	Agent	Approved	11/05/2020
<b>B</b> New York	Agent	Approved	01/09/2003
<b>B</b> North Carolina	Agent	Approved	06/01/2000
<b>B</b> North Dakota	Agent	Approved	08/03/2023
<b>B</b> Ohio	Agent	Approved	10/01/2010
<b>B</b> Oklahoma	Agent	Approved	08/03/2023
<b>B</b> Oregon	Agent	Approved	10/05/2010
<b>B</b> Pennsylvania	Agent	Approved	07/22/2011
<b>B</b> Rhode Island	Agent	Approved	08/03/2023
<b>B</b> South Carolina	Agent	Approved	09/13/2004
<b>B</b> South Dakota	Agent	Approved	08/03/2023
<b>B</b> Tennessee	Agent	Approved	06/02/2000
<b>B</b> Texas	Agent	Approved	04/01/2005
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	12/06/2018
<b>B</b> Utah	Agent	Approved	06/01/2000



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Vermont	Agent	Approved	12/11/2023
<b>B</b> Virginia	Agent	Approved	06/09/2004
<b>B</b> Washington	Agent	Approved	02/07/2001
<b>B</b> West Virginia	Agent	Approved	10/19/2018
<b>B</b> Wisconsin	Agent	Approved	04/27/2018
<b>B</b> Wyoming	Agent	Approved	08/03/2023

### Branch Office Locations

**EDWARD JONES**

2004 COMMERCE DR N SUITE 215  
PEACHTREE CITY, GA 30269-3559



## 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	04/03/2000
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/12/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/07/2000
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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
01/2000 - Present	EDWARD JONES	INVESTMENT REPRESENTATIVE	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
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:** THE CLIENTS CLAIM THAT IN JANUARY 2011 THE FINANCIAL ADVISOR ADVISED THAT THE CLIENTS PURCHASE \$7,000 WORTH OF CHINA BIOTICS STOCK AND IN MARCH 2011 ADVISED THE CLIENTS TO PURCHASE \$9,750 WORTH OF APOLLO INVESTMENTS. THE CLIENTS CLAIM BY DECEMBER 2011 BOTH INVESTMENTS HAD BEEN SOLD AT A LOSS OF \$7,000.00 PLUS THEY HAD PAID \$2,370.00 IN COMMISSION. THE CLIENTS STATE THEY KNOW THE MARKET CAN BE VOLATILE, HOWEVER, CLAIM THEY WERE NOT COUNSELED ON THE RISKY NATURE OF THE INVESTMENTS. THE CLIENTS CLAIM THEY WERE NOT ADVISED THAT THESE INVESTMENTS WERE TO BE HELD FOR THE SHORT TERM AND WERE NOT MADE AWARE OF THE AMOUNT OF MOVEMENT THE INVESTMENTS WOULD EXPERIENCE. THE CLIENTS STATE THEY BELIEVE THEIR INVESTMENTS SHOULD HAVE BEEN UP IN VALUE BY DOUBLE DIGITS IF HANDLED PROPERLY. THE CLIENTS HAVE MOVED THEIR ACCOUNTS TO A NEW FINANCIAL ADVISOR AND REQUEST A REVIEW OF THE ACCOUNTS. THE CLIENTS WANT TO KNOW IF THERE IS A PROCEDURE BY WHICH THEY COULD RECOVER SOME OF THEIR LOSSES.

**Product Type:** Equity-OTC

**Alleged Damages:** \$9,370.00

**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: 07/16/2012

Complaint Pending? No

Status: Denied

Status Date: 09/24/2012

Settlement Amount: \$0.00

Individual Contribution  
Amount: \$0.00

### Broker Statement

THE FINANCIAL ADVISOR WAS CONTACTED AND RELEVANT ACCOUNT DOCUMENTATION HAS BEEN REVIEWED. THE FINANCIAL ADVISOR RECOMMENDED THE PURCHASE OF CHINA BIOTICS INC. SHARES IN JANUARY 2011 TO ADD TO THE GROWTH PORTION OF THE PORTFOLIO. IN MARCH 2011 SHARES OF APOLLO INVESTMENT CORP. WERE PURCHASED. AT THAT TIME THE CLIENTS HAD INDICATED INTEREST IN GENERATING ADDITIONAL INCOME FROM THE DIVIDENDS. WHEN DISCUSSING THESE INVESTMENTS THE FINANCIAL ADVISOR DISCUSSED THE DETAILS OF THE INVESTMENTS TO INCLUDE RISKS AND MARKET FLUCTUATION. THESE INVESTMENTS WERE TO BE HELD FOR THE LONG TERM AND WERE NOT INTENDED TO BE SHORT TERM INVESTMENTS AS STATED BY THE CLIENTS. IN JUNE 2011 IT WAS AGREED THE CHINA BIOTICS INC. SHARES WOULD BE LIQUIDATED. IN DECEMBER 2011 THE SHARES OF APOLLO INVESTMENT CORP. WERE ALSO LIQUIDATED. OUR RECORDS REFLECT THE COMMISSIONS FOR THE PURCHASE AND SALE OF APOLLO INVESTMENT CORP . WERE DISCOUNTED BY 40% AND 30% RESPECTIVELY. OUR RECORDS INDICATE BOTH INVESTMENTS UNDERPERFORMED DURING THE TIME THE SHARES WERE HELD. THE PERFORMANCE OF THESE INVESTMENTS WAS NOT GUARANTEED AND THE CLIENTS WOULD HAVE BEEN AWARE THE INVESTMENTS WOULD BE SUBJECT TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. THE CLIENTS STATED THEY BELIEVED THEIR INVESTMENTS WOULD BE UP IN VALUE BY DOUBLE DIGITS HAD THEIR ACCOUNTS BEEN HANDLED PROPERLY. IT WAS EXPLAINED THAT EACH INVESTMENT IN IS SUBJECT TO MARKET FLUCTUATION. THIS FLUCTUATION WILL PROPORTIONATELY AFFECT THE VALUE OF THE OVERALL PERFORMANCE OF THE PORTFOLIO. OUR REVIEW DOES NOT REFLECT THE ACCOUNTS HAVE BEEN HANDLED IMPROPERLY. BASED ON OUR REVIEW THERE WILL BE NO ADJUSTMENT MADE TO THE ACCOUNT.

### Disclosure 2 of 2

Reporting Source: Individual

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

Allegations: 3/08-9/08; CLIENT'S DAUGHTER HAS MADE VARIOUS ALLEGATIONS OF UNAUTHORIZED TRADES AND HAS INDICATED CHECKS WERE ISSUED AND FUNDS WERE WIRED FROM HER FATHER'S ACCOUNT WITHOUT HIS KNOWLEDGE. DAUGHTER ALLEGES THE FA COLLUDED WITH HER BROTHER TO EXPLOIT HER FATHER AND EXHAUST HER FATHER'S FUNDS.



DAUGHTER CLAIMS PRIOR TO THE FA ASSUMING RESPONSIBILITY FOR HER FATHER'S ACCOUNT, IT WAS VALUED AT APPROXIMATELY \$66,493.00 AND NOW HER FATHER HAS NOTHING LEFT.

**Product Type:** Mutual Fund

**Alleged Damages:** \$66,493.00

**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:** 11/24/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/08/2009

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Broker Statement

THE DAUGHTER IS NOT A REGISTERED ACCOUNT OWNER OR AN AUTHORIZED INDIVIDUAL, THEREFORE WE ARE RESPONDING TO THE CLIENT DIRECTLY. OUR RECORDS REFLECT THE CLIENT SIGNED A LETTER OF AUTHORIZATION FOR PERIODIC WITHDRAWAL OF FUNDS (LOA) ON OR ABOUT 02/21/07 AT WHICH TIME HE REQUESTED THAT \$150 PER MONTH BE WITHDRAWN FROM THE ACCOUNT AND SENT TO WACHOVIA (VIA ACH). SUBSEQUENTLY, THE CLIENT SIGNED VARIOUS LOAS - COPIES OF WHICH HAVE BEEN PROVIDED TO THE CLIENT. A CHECK IN THE AMOUNT OF \$4,000.00 WAS ISSUED FROM THE SINGLE REGISTRATION ACCOUNT ON 05/05/08 AND PAID ON 05/12/08. THE CHECK WAS MADE PAYABLE TO [FAMILY MEMBER] AND WAS MAILED TO THE ADDRESS OF RECORD. ON 05/23/08, FUNDS IN THE AMOUNT OF \$17,000.00 WERE WIRED FROM THE ACCOUNT TO WACHOVIA. ON 09/16/08, FUNDS IN THE AMOUNT OF \$2,680.86 WERE WIRED FROM THE ACCOUNT; HOWEVER THIS WIRE WAS REVERSED AND THE FUNDS WERE RECEIVED BACK INTO THE ACCOUNT ON 09/17/08. ALSO ON 09/17/08, FUNDS IN THE AMOUNT OF \$2,665.86 WERE WIRED TO WACHOVIA. OUR RECORDS REFLECT \$12,000.00 WAS WIRED FROM THE IRA ACCOUNT ON 09/22/08 TO WACHOVIA. ALL ACCOUNT ACTIVITY HAS BEEN REFLECTED ON THE STATEMENTS THE CLIENT HAS RECEIVED FROM THE FIRM. IN ADDITION, THE REQUIRED TRADE CONFIRMATIONS DETAILING THE TRANSACTIONS WOULD HAVE BEEN SENT TO THE CLIENT FURTHER, THE DISTRIBUTION(S) FROM THE IRA ACCOUNT WERE REFLECTED ON THE 2008 FORM 1099R ISSUED BY EDWARD JONES. BASED ON OUR REVIEW, THE TRANSACTIONS WERE EVIDENCED THROUGH TRADE CONFIRMATIONS, LOAS AND ACCOUNT STATEMENTS AS WELL AS THROUGH TAX REPORTING. THEREFORE, IT WOULD SEEM HAD THE ACTIVITY BEEN COMPLETED WITHOUT THE CLIENT'S AUTHORIZATION, WE WOULD HAVE BEEN CONTACTED IN A MORE TIMELY MANNER. AT THIS TIME, WE WOULD RESPECTFULLY DENY ANY REQUEST FOR COMPENSATION RELATED TO THIS MATTER.



## End of Report

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