



IAPD Report

Scott Kevin Erickson

CRD# 4187786

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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

Scott Kevin Erickson (CRD# 4187786)

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 **07/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	07/11/2000
IA	EDWARD JONES	CRD# 250	12/10/2013

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **30** 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	4



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 **30** 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	07/11/2000
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	09/04/2000
B	Alabama	Agent	Approved	11/25/2015
B	Arizona	Agent	Approved	08/04/2015
B	Arkansas	Agent	Approved	01/20/2009
B	California	Agent	Approved	06/27/2002
B	Colorado	Agent	Approved	03/18/2003
B	District of Columbia	Agent	Approved	08/14/2014
B	Florida	Agent	Approved	03/23/2006
B	Georgia	Agent	Approved	06/27/2023
B	Illinois	Agent	Approved	02/18/2020



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	05/04/2017
B	Iowa	Agent	Approved	05/19/2017
B	Louisiana	Agent	Approved	03/06/2015
B	Maryland	Agent	Approved	03/25/2021
B	Minnesota	Agent	Approved	08/01/2000
IA	Minnesota	Investment Adviser Representative	Approved	12/10/2013
B	Mississippi	Agent	Approved	10/26/2020
B	Missouri	Agent	Approved	01/09/2018
B	Nevada	Agent	Approved	09/27/2022
B	New Jersey	Agent	Approved	07/13/2026
B	New Mexico	Agent	Approved	12/09/2025
B	New York	Agent	Approved	04/18/2019
B	North Carolina	Agent	Approved	01/18/2008
B	North Dakota	Agent	Approved	04/20/2001
B	Oregon	Agent	Approved	10/15/2003
B	Pennsylvania	Agent	Approved	08/07/2015
B	Rhode Island	Agent	Approved	08/02/2021
B	South Dakota	Agent	Approved	10/23/2000
B	Tennessee	Agent	Approved	10/18/2017



Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	01/29/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	12/20/2018
B	Virginia	Agent	Approved	05/08/2009
B	Wisconsin	Agent	Approved	03/30/2001

Branch Office Locations

EDWARD JONES

1895 Plaza Drive Suite 200
Eagan, MN 55122-4600



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/10/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/2000



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
05/2000 - 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.

MY SPOUSE AND I ARE PROPRIETORS OF THE BUSINESS "MAMIE'S CORNER PRESCHOOL", WHICH WE HAVE OWNED SINCE 1989. MY SPOUSE OPERATES THE BUSINESS 9 MONTHS OF THE YEAR. I AM INVOLVED A FEW HOURS ON SATURDAYS OCCASSIONALLY. THE BUSINESS IS NOT INVESTMENT RELATED. MY TIME IS ABOUT 4 HOURS MONTHLY. THE BUSINESS ADDRESS IS THE SAME AS OUR HOME ADDRESS. NO BUSINESS IS DONE BY ME DURING TRADING HOURS



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Edward Jones
Allegations:	The clients allege their Polaris Platinum O-Series annuities purchased April 2015 were suppose to be protected from market fluctuation.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Allegations claim damages that appear to be in excess of \$5,000.00
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:	12/11/2015
Complaint Pending?	No
Status:	Denied
Status Date:	12/31/2015
Settlement Amount:	

**Individual Contribution Amount:**

Broker Statement After completion of the firm's investigation into client's allegations, claim was denied.

Disclosure 2 of 4

Reporting Source: Individual

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

Allegations: ON FEB 7, 2014 THE CLIENT CLAIMS THE NEW ENGLAND FINANCIAL DISABILITY INSURANCE POLICY WAS MISREPRESENTED WHEN IT WAS ISSUED IN DECEMBER 2001. THE CLIENT IS REQUESTING A RETURN OF ANNUAL PREMIUMS PAID OR THAT THE POLICY BE AMENDED.

Product Type: Insurance

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5,000.00

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: 02/07/2014

Complaint Pending? No

Status: Denied

Status Date: 02/27/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER COMPLETION OF THE FIRM'S INVESTIGATION INTO THE CLIENT'S ALLEGATIONS THE CLAIM WAS DENIED.

Disclosure 3 of 4

Reporting Source: Individual

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

Allegations: CLIENT INDICATES HER INTENTION TO WITHDRAW IRA FUNDS TO PAY DOWN DEBT . THE CLIENT'S TAX CONSULTANT PROVIDED PROJECTED WITHHOLDING AMOUNTS TO THE ADVISOR, AND THEREFORE, SHE WAS SURPRISED TO OWE SIGNIFICANT FEDERAL AND STATE TAXES THE FOLLOWING YEAR. THE CLIENT FEELS THE FIRM HAS A LIABILITY FOR THE



REMAINING TAX BALANCE DUE.

Product Type: No Product

Alleged Damages: \$5,000.00

Alleged Damages Amount 5,0000.00 OR MORE

Explanation (if amount not exact):

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: 04/10/2012

Complaint Pending? No

Status: Settled

Status Date: 05/16/2012

Settlement Amount: \$1,500.00

Individual Contribution Amount: \$0.00

Broker Statement AS DIRECTED BY THE CLIENT IN MAY 2011, THE FINANCIAL ADVISOR REQUESTED PROJECTIONS FOR TAX LIABILITY RELATING TO AN IRA WITHDRAWAL TO PAY DOWN DEBT. THE ADVISOR BELIEVED THE CLIENT WAS COPIED ON THE TAX PROFESSIONAL'S EMAIL RESPONSE, AS HE DISCUSSED THE RESULTS WITH THE CLIENT BY PHONE. THE CLIENT WAS NOT PROVIDED A COPY OF THE PROJECTIONS, AND THEREFORE MADE WITHHOLDING ELECTIONS BASED ON THE ADVISOR'S INTERPRETATION OF THE EMAIL RESULTING IN AN UNEXPECTED TAX BILL IN 2012. WHILE TAX LIABILITY IS THE RESPONSIBILITY OF THE IRA OWNER, THE CLIENT WOULD HAVE HAD AN OPPORTUNITY TO PLAN FOR THE DEBT HAD THE CLIENT UNDERSTOOD THE DETAILS OF THE EMAIL FROM THE TAX PROFESSIONAL. A SETTLEMENT OFFER WAS ACCEPTED.

Disclosure 4 of 4

Reporting Source: Individual

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

Allegations: 12/29/09-11/08; THE CLIENT STATES HE INSTRUCTED THE FA TO PURCHASE A MUNICIPAL MONEY MARKET FUND IN DECEMBER 2006, BUT THE FA PURCHASED VAN KAMPEN HIGH YIELD MUNICIPAL MUTUAL FUND INSTEAD. THE CLIENT INDICATES HE INFORMED THE FA HE DID NOT WANT TO BE IN A MUTUAL BOND FUND BECAUSE OF THE RISK OF LOSING PRINCIPAL. THE CLIENT STATES HE WANTS TO BE REIMBURSED FOR THE LOSSES OF \$29,926.

Product Type: Mutual Fund(s)

Alleged Damages: \$29,926.00

Customer Complaint Information



Date Complaint Received: 01/07/2009

Complaint Pending? No

Status: Denied

Status Date: 03/12/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE CLIENT HAS STATED HE WAS NOT AWARE ACTHX WAS PURCHASED IN HIS ACCOUNT. OUR RECORDS INDICATE THE ABOVE SECURITY WAS ORIGINALLY PURCHASED ON FEBRUARY 20, 2003; MORE SHARES WERE PURCHASED ON DECEMBER 29, 2006 AND JANUARY 31, 2007. THE CLIENT WAS SENT CONFIRMATIONS AND A PROSPECTUS WITH EACH TRANSACTION. IN ADDITION, IT APPEARS THE ACTHX PAID A MONTHLY DIVIDEND. THE MONTHLY STATEMENTS NOT ONLY REFLECTED THE PURCHASES, BUT THE SHARES HELD IN THE ACCOUNT. SINCE THE ORIGINAL PURCHASE IN 2003, THE 1099S ISSUED ON THE ACCOUNT REFLECTED THE DIVIDENDS EARNED ON THE FUND. BASED ON OUR REVIEW, IT APPEARS THE CLIENT WAS AWARE HE OWNED ACTHX. HE RECEIVED CONFIRMATIONS AND MONTHLY STATEMENTS, WHICH REFLECTED THE FUND IN THE ACCOUNT. OUR RECORDS INDICATE THE CLIENT RECEIVED A \$250,000 BREAKPOINT ON EACH OF THE ABOVE LISTED PURCHASES. IN LIGHT OF THESE CIRCUMSTANCES, THE CLIENT'S REQUEST FOR REIMBURSEMENT OF THE DIFFERENCE IN MARKET VALUE IS RESPECTFULLY DENIED.



End of Report

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