



IAPD Report

Jason Jerome Flynn

CRD# 4376928

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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

Jason Jerome Flynn (CRD# 4376928)

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 **12/02/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------|----------|------------------|
| B | EDWARD JONES | CRD# 250 | 05/30/2001 |
| IA | EDWARD JONES | CRD# 250 | 03/03/2007 |

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **25** 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 **25** 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 | 05/30/2001 |
| 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 | 07/23/2001 |
| B | Alabama | Agent | Approved | 08/26/2014 |
| B | Colorado | Agent | Approved | 12/02/2025 |
| B | Florida | Agent | Approved | 01/25/2002 |
| B | Georgia | Agent | Approved | 06/02/2009 |
| B | Hawaii | Agent | Approved | 12/02/2025 |
| B | Illinois | Agent | Approved | 08/08/2022 |
| B | Indiana | Agent | Approved | 01/17/2007 |
| B | Kentucky | Agent | Approved | 06/28/2001 |
| IA | Kentucky | Investment Adviser Representative | Approved | 03/03/2007 |



Qualifications

| | Regulator | Registration | Status | Date |
|----|----------------|-----------------------------------|---------------------|------------|
| B | Louisiana | Agent | Approved | 07/02/2025 |
| B | Maine | Agent | Approved | 07/01/2022 |
| B | Massachusetts | Agent | Approved | 02/18/2022 |
| B | Michigan | Agent | Approved | 11/05/2021 |
| B | Minnesota | Agent | Approved | 02/28/2022 |
| B | Mississippi | Agent | Approved | 10/10/2019 |
| B | Montana | Agent | Approved | 04/22/2025 |
| B | New York | Agent | Approved | 10/26/2010 |
| B | North Carolina | Agent | Approved | 10/07/2011 |
| B | Ohio | Agent | Approved | 03/21/2002 |
| B | Pennsylvania | Agent | Approved | 12/16/2021 |
| B | South Carolina | Agent | Approved | 03/21/2011 |
| B | Tennessee | Agent | Approved | 10/23/2008 |
| B | Texas | Agent | Approved | 11/22/2016 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 12/27/2018 |
| B | Virginia | Agent | Approved | 11/01/2006 |
| B | Wisconsin | Agent | Approved | 12/13/2018 |
| B | Wyoming | Agent | Approved | 11/04/2024 |



Qualifications

Branch Office Locations

EDWARD JONES

100 AG WAY SUITE 2
STANFORD, KY 40484



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 | 05/29/2001 |
|---|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|-----------|------------|
| IA B Uniform Combined State Law Examination (S66) | Series 66 | 02/23/2007 |
|---|-----------|------------|

| | | |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/01/2001 |
|---|-----------|------------|

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 |
|-------------------|---------------|----------------|--------------------|---------------------------------|
| 03/2001 - Present | EDWARD JONES | INVESTMENT REP | 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.

J Jerome Flynn LLC
 Type of business: Rental property
 Stanford, KY
 Start date: 3/15/2009
 Member
 Hours per week: 0
 Hours during trading: 0
 Maintain office and property to renters specifications.

Stanford Lions Club
 Type of business: Charitable Organization
 Stanford, KY
 Start date: 1/4/2016
 Board Member
 Hours per week: 0
 Hours during trading: 0
 Help serve on different committees from finance to programs committee

Ephraim McDowell Hospital
 Type of business: Hospital
 Danville, KY
 Start date: 7/11/2018
 Finance Board Member
 Hours per week: 0
 Hours during trading: 0
 We meet once per quarter for approx. 1.5 hrs to discuss financial matters of the hospital

CASA of Lexington
 Type of business: Non-profit



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Lexington, KY
Start date: 7/1/2024
Board Member
Hours per week: 0
Hours during trading: 0
Quarterly meetings, lasting 1-1/5 hrs



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: 2/14/08-10/28/10; THE CLIENT'S ATTORNEY STATES THE PURCHASE OF THE CLASS A MUTUAL FUNDS WERE NOT SUITABLE FOR THE CLIENT. HE STATES THE FA TOLD THE CLIENT NOT TO PAY OFF HER MORTGAGE AND INVEST THE ESTATE PROCEEDS INTO MUTUAL FUNDS AND A VARIABLE ANNUITY. HE STATES THE FA DID NOT INQUIRE IF THERE ANY SHORT TERM NEEDS OF THE CLIENT. HE STATES THE FA DID NOT DISCLOSE TO THE CLIENT HOW WAS COMPENSATED ON THE FUNDS, DID NOT DISCUSS THE RISKS, INVESTMENT OBJECTIVES OR MARKET VOLATILITY. THE ATTORNEY ALSO STATES THE FA DID NOT DISCLOSE THE RISKS OF THE MARGIN ACCOUNT; HE STATES THE FA INFORMED THE CLIENT SHE WOULD NOT HAVE TO PAY BACK THE LOAN OR THAT SHE WOULD HAVE TO SELL SECURITIES TO PAY OFF HER LOAN. THE ATTORNEY IS DEMANDING THE CLIENT BE REIMBURSED \$37,000.***** CLAIMANT ALLEGES THAT FA MADE RECOMMENDATIONS OF UNSUITABLE MUTUAL FUNDS, ANNUITIES, AND MARGIN LOANS. CLAIMANT ALLEGES THAT FA MISREPRESENTED THE RISK OF RISKS AND NATURE OF THE INVESTMENTS AND ENGAGED IN UNAUTHORIZED TRADING. IN ADDITION, IT IS ALLEGED THAT THE FA AND EJ NEGLIGENTLY HANDLED THE ACCOUNTS IN QUESTION, RESULTING IN LOSSES. (DAMAGES SOUGHT: \$30,810 FOR NEGLIGENCE, UNAUTHORIZED TRADING, UNSUITABILITY, AND FOR INTEREST, ATTORNEYS FEES, AND COSTS.)`

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: \$37,000.00



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: 11/11/2010

Complaint Pending? No

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

Status Date: 11/23/2010

Settlement Amount:

Individual Contribution
Amount:

Arbitration Information

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

Docket/Case #: 11-00187

Date Notice/Process Served: 01/20/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/02/2011

Monetary Compensation
Amount: \$12,500.00

Individual Contribution
Amount: \$0.00

Broker Statement

THE CLIENT BEGAN INVESTING IN MUTUAL FUNDS IN 2006 WITH A DEPOSIT IN HER RETIREMENT ACCOUNT. THE FA STATES HE EXPLAINED THE COSTS, SALES CHARGES, BREAKPOINTS, BENEFITS AND RISKS TO THE CLIENT. SHE WAS PROVIDED WITH A PROSPECTUS. WHEN THE CLIENT'S HUSBAND PASSED AWAY IN 2007, SHE MET WITH THE FA TO DISCUSS HER FINANCIAL SITUATION. THE CLIENT INDICATED IF SHE COULD PAY OFF HER CAR PAYMENT, THE FUNERAL BILL, CREDIT CARD BILLS AND POTENTIAL TAXES, SHE COULD COVER HER MORTGAGE PAYMENT. THE CLIENT INVESTED IN MUTUAL FUNDS; THE FA INDICATED HE REVIEWED THE BREAKPOINTS, SALES CHARGES, BENEFITS, AND RISKS WITH THE CLIENT. THE CLIENT ALSO WANTED TO HAVE AN INCOME FROM HER INVESTMENTS FOR RETIREMENT; SHE PURCHASED HARTFORD ANNUITY WITH INCOME RIDER. THE RIDER WOULD ALLOW FOR AN INCOME STREAM WHEN SHE REACHED AGE 60. THE FA REVIEWED THE RISKS, BENEFITS AND COSTS WITH THE CLIENT. ACCORDING TO THE FA, THE CLIENT DID NOT INFORM HIM SHE WOULD NEED THE MONEY INVESTED FOR SHORT TERM NEEDS. WHEN SHE CONTACTED HIM IN 2008 TO LIQUIDATE HER FUNDS, THEY WERE DOWN IN VALUE. HE INDICATED SHE COULD BORROW AGAINST THE EQUITY IN HER ACCOUNT AND PAY THE LOAN WHEN THE SECURITIES INCREASED IN VALUE. THE CLIENT AGREED. THE FA DID NOT INFORM THE CLIENT SHE WOULD NOT HAVE TO PAY THE LOAN BACK; HE INFORMED HER THERE WAS NO PAYMENT



SCHEDULE. AT THE TIME OF THE INVESTMENTS, THEY APPEARED TO BE WITHIN THE SCOPE OF HER INVESTMENT OBJECTIVES OF GROWTH AND INCOME. WHILE WE UNDERSTAND THE CLIENT'S FRUSTRATION WITH THE PERFORMANCE OF HER INVESTMENTS, THE PERFORMANCE IS ATTRIBUTED TO CIRCUMSTANCES BEYOND THE FIRM'S CONTROL AND MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. THE REQUEST FOR REIMBURSEMENT OF THE MARKET LOSSES IS DENIED. ARBITRATION: SETTLED FOR \$12,500.

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

9/08-11/08; CLIENT STATES SHE INFORMED FA SHE WANTED TO INVEST IN SECURE, STABLE INTEREST BEARING INVESTMENTS. CLIENT ALSO STATES FA DID NOT FOLLOW HER INSTRUCTIONS AND INVESTED THE MAJORITY IN 8 DIFFERENT MUTUAL FUNDS. CLIENT STATES AS A RESULT OF FA'S FAILURE TO FOLLOW HER INSTRUCTIONS, SHE HAS LOST 25% OF HER CAPITAL. CLIENT IS REQUESTING REFUND OF LOSSES AS WELL AS REFUND OF FEES AND COMMISSIONS PAID TO PURCHASE.

Product Type:

Mutual Fund(s)

Other Product Type(s):

DEBT-CORPORATE

Alleged Damages:

\$5,000.00

Customer Complaint Information

Date Complaint Received:

11/18/2008

Complaint Pending?

No

Status:

Denied

Status Date:

01/16/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

FA HAS INDICATED IN EARLY SEPTEMBER 2008, HE AND THE CLIENT MET AND DISCUSSED THE CLIENT'S CURRENT FINANCIAL SITUATION. IT IS OUR UNDERSTANDING AT THAT TIME, THE CLIENT'S ACCOUNT WAS WITH TD WATERHOUSE / AMERITRADE AND ACCORDING TO THE FA, WAS ALL INVESTED IN DAVIS VENTURE FUNDS. DURING THIS MEETING, THE FA HAS STATED HE AND THE CLIENT TALKED ABOUT HER OBJECTIVES AND TIME FRAME FOR INVESTING. THE FA HAS INDICATED THE CLIENT INFORMED HIM SHE DID NOT FORESEE NEEDING THIS MONEY IN THE NEAR FUTURE AND WAS LOOKING FOR SOMETHING THAT WOULD GROW. BASED ON THIS, THE FA RECOMMENDED MUTUAL FUNDS AND TWO DIFFERENT BOND ISSUES AND DURING THIS DISCUSSION, HAS STATED HE INFORMED THE CLIENT THAT HER PORTFOLIO WOULD FLUCTUATE. IT IS OUR UNDERSTANDING THE CLIENT AGREED TO HIS RECOMMENDATIONS AND THE PURCHASES WERE MADE. THE FA CONTENTS AT NO POINT DID THE CLIENT REQUEST THAT HER ACCOUNT BE INVESTED IN A STABLE, INTEREST BEARING VEHICLE. ADDITIONALLY, IT IS OUR UNDERSTANDING THE CLIENT HAS SINCE CONTACTED OUR CLIENT RELATIONS AREA AND ALL SECURITIES HAVE BEEN LIQUIDATED. IN CLOSING, UPON REVIEW OF



THE INVESTMENTS THAT WERE PURCHASED IN THE ACCOUNT, THEY DID NOT APPEAR TO BE OUTSIDE OF THE SCOPE OF THE INVESTMENT OBJECTIVES LISTED ON THE ACCOUNT. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE PORTFOLIO, IT DOES APPEAR THE DECLINES WERE ATTRIBUTED TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. BASED ON OUR INVESTIGATION, THE REQUEST FOR COMPENSATION WAS RESPECTFULLY DENIED.



End of Report

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