



## IAPD Report

# Aaron Michael Ogea

CRD# 4534199

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

### Aaron Michael Ogea (CRD# 4534199)

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 **01/22/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	07/09/2002
<b>IA</b>	EDWARD JONES	CRD# 250	01/16/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **23** 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	3



## 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 **23** 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	07/09/2002
<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	09/02/2002
<b>B</b>	Alabama	Agent	Approved	05/20/2004
<b>B</b>	Arizona	Agent	Approved	06/05/2012
<b>B</b>	Arkansas	Agent	Approved	04/03/2013
<b>B</b>	California	Agent	Approved	02/03/2006
<b>B</b>	Colorado	Agent	Approved	08/17/2018
<b>B</b>	Florida	Agent	Approved	04/16/2007
<b>B</b>	Georgia	Agent	Approved	10/21/2003
<b>B</b>	Indiana	Agent	Approved	07/27/2020
<b>B</b>	Kansas	Agent	Approved	04/21/2025



## Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	07/30/2002
IA	Louisiana	Investment Adviser Representative	Approved	01/16/2007
B	Maryland	Agent	Approved	02/03/2012
B	Massachusetts	Agent	Approved	12/27/2016
B	Mississippi	Agent	Approved	07/29/2002
B	Missouri	Agent	Approved	07/20/2011
B	Nevada	Agent	Approved	03/29/2022
B	New Mexico	Agent	Approved	08/16/2011
B	New York	Agent	Approved	01/07/2003
B	North Carolina	Agent	Approved	03/06/2006
B	Oklahoma	Agent	Approved	07/20/2011
B	South Carolina	Agent	Approved	03/31/2003
B	Tennessee	Agent	Approved	06/17/2005
B	Texas	Agent	Approved	09/05/2002
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2014
B	Wyoming	Agent	Approved	10/04/2017

### Branch Office Locations

**EDWARD JONES**  
201 Fulton St  
NEW IBERIA, LA 70560



## 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
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	07/08/2002
--	----------	------------

#### State Securities Law Exams

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

Uniform Combined State Law Examination (S66)	Series 66	03/16/2015
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	07/11/2002
--	-----------	------------

### 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
05/2002 - 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. Hilburn  
 Type of business: clothing  
 New Iberia, LA  
 Start date: 1/26/2018  
 Stylist  
 Hours per week: 0  
 Hours during trading: 0  
 Custom clothing and fashion  
 \*

Cape Holdings  
 Type of business: Real Estate Holding  
 New Iberia, LA  
 Start date: 11/1/2018  
 Manager  
 Hours per week: 0  
 Hours during trading: 0  
 Management of real estate properties.  
 \*

Mo Betta Holdings  
 Type of business: Real Estate  
 New Iberia, LA  
 Start date: 8/1/2024  
 Managing Member  
 Hours per week: 1  
 Hours during trading: 0  
 managing rental properties, acquisitions



## 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	3

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	CLAIMANT ALLEGES MR. OGEA'S RECOMMENDATIONS BEGINNING IN MARCH 2004 TO LIQUIDATE VARIABLE ANNUITIES TO FUND THE PURCHASE OF CLASS A MUTUAL FUNDS (AND OTHER INVESTMENTS) VIOLATED INDUSTRY RULES BY CREATING "TWISTING" OF ANNUITIES. CLAIMANT ALSO ALLEGES FRAUD, CHURNING, MISREPRESENTATION AND FAILURE TO SUPERVISE IN THE HANDLING OF HIS ACCOUNTS THROUGH DECEMBER 2010.
<b>Product Type:</b>	Annuity-Variable Mutual Fund
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	NOT SPECIFIED BUT GUESSED TO BE IN EXCESS OF \$5,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	17-00914



**Filing date of arbitration/CFTC reparation or civil litigation:** 04/10/2017

### Customer Complaint Information

**Date Complaint Received:** 05/05/2017

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/28/2018

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** Mr. Ogea denied any liability on the claim; denied any misconduct as alleged in the claim; and alleged defensively that he timely disclosed all material information about the investment to the customer. Mr. Ogea made the further defensive contention that the settlement and release previously executed in FINRA arbitration case 14-03588 operated to release the claims alleged in this matter. Mr. Ogea was not required to make any financial contribution toward the settlement of the claim.

### Disclosure 2 of 3

**Reporting Source:** Individual

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

**Allegations:** CLAIMANT ALLEGES MR. OGEA'S 2005 RECOMMENDATION TO SELL VARIABLE ANNUITIES TO FUND THE PURCHASE OF VARIABLE UNIVERSAL LIFE INSURANCE POLICIES WAS UNSUITABLE.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** NOT SPECIFIED, BUT BELIEVED TO BE IN EXCESS OF \$5,000.00

### Arbitration Information

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

**Docket/Case #:** 14-03588

**Date Notice/Process Served:** 12/08/2014

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/12/2016

**Monetary Compensation Amount:** \$87,500.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** Mr. Ogea denied any liability on the claim; denied any misconduct as alleged in the claim; and alleged defensively that he timely disclosed all material information about the investment to the customer. Mr. Ogea was not required to make any financial contribution toward the settlement of the claim.

### Disclosure 3 of 3

**Reporting Source:** Individual

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

**Allegations:** THE CLIENT STATES SHE INVESTED \$160,000 IN AN UNSUITABLE INSURANCE PRODUCT MEANT FOR HER CHILDREN. THE CLIENT STATES THE VALUE IS NOW \$80,000. THE CLIENT INDICATES THAT WHEN SHE QUESTIONED THE FINANCIAL ADVISOR ABOUT THE PREMIUMS, SHE WAS TOLD SHE DID NOT HAVE TO PAY ANY ADDITIONAL PREMIUMS. SHE STATES THAT SHE WAS NOT HAPPY WITH THE THIRD PARTY ADMINISTRATOR ( TPA) THE FINANCIAL ADVISOR CHOSE FOR HER HUSBAND'S 401K PLAN AND WANTED TO SWITCH TO A NEW TPA. ACCORDING TO THE CLIENT, AT THE FIRST THE FINANCIAL ADVISOR INDICATED HE COULD WORK WITH THE NEW TPA, BUT LATER TOLD THE CLIENT SHE COULD NOT HAVE TWO FINANCIAL ADVISORS. THE CLIENT STATES THAT THE FINANCIAL ADVISOR RECOMMENDED THE SAME PLAN THE OTHER TPA RECOMMENDED . SHE ALSO ASKED ABOUT ADDING TWO BENEFICIARIES TO THE PLAN, BUT ONLY ONE WAS ADDED.

**Product Type:** Insurance

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** 5,000.00 OR MORE

**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:** 05/24/2012

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 07/26/2012

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE CLIENT IS THE OWNER OF THE TWO VARIABLE LIFE INSURANCE POLICIES AND HER CHILDREN ARE THE NAMED INSURED. THE FIRM'S REVIEW OF THE MATTER REVEALS THE CLIENT RECEIVED THE POLICIES



AND ILLUSTRATIONS DETAILING THE SUBACCOUNT INVESTMENT OPTIONS FOR EACH POLICY, THE PREMIUMS TO BE CONTRIBUTED AND THE ILLUSTRATED GROWTH. WHILE THE CLIENT PAID THE EXPECTED PREMIUMS AS OUTLINED IN THE POLICY, THE POLICY VALUES HAVE DECREASED OVER TIME DUE TO MARKET FLUCTUATIONS. THE CLIENT IS NOT REQUIRED TO PAY ANY ADDITIONAL PREMIUMS INTO THE POLICIES AND AT THIS TIME THE POLICIES REMAIN IN FULL FORCE AND EFFECT. THE CLIENT EXPRESSED SEPARATE CONCERNS ABOUT THE SELECTION OF THE THIRD PARTY ADMINISTRATOR (" TPA") OF HER HUSBAND'S 401K PLAN. THE CLIENT SOUGHT INPUT RELATED TO TPA OPTIONS FROM TWO BROKERAGE FIRMS . THE EDWARD JONES FINANCIAL ADVISOR INFORMED THE CLIENT THAT HE COULD NOT WORK WITH AN ADVISOR FROM ANOTHER FIRM. THE CLIENT MADE THE DECISION TO CONTINUE TO WORK WITH THE EDWARD JONES FINANCIAL ADVISOR UNTIL HE MOVED TO A DIFFERENT BRANCH OFFICE , AT WHICH TIME THE RELATIONSHIP TERMINATED. BASED ON THE FIRM'S REVIEW OF THIS MATTER NO RENUMERATION WAS OFFERED TO THE CLIENT AND NO FURTHER ACTION WILL BE TAKEN .



## End of Report

This page is intentionally left blank.