



IAPD Report

Christopher Wayne Cody

CRD# 4564771

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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

Christopher Wayne Cody (CRD# 4564771)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	09/16/2003
IA	EDWARD JONES	CRD# 250	10/25/2006

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **12** 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
IA	UBS FINANCIAL SERVICES INC.	8174	LITTLE ROCK, AR	11/04/2002 - 10/02/2003
B	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	09/09/2002 - 10/02/2003

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	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 **12** 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	09/16/2003
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	09/16/2003
B Alabama	Agent	Approved	07/17/2019
B Alaska	Agent	Approved	08/23/2017
B Arkansas	Agent	Approved	09/16/2003
IA Arkansas	Investment Adviser Representative	Approved	10/25/2006
B Florida	Agent	Approved	04/05/2023
B Georgia	Agent	Approved	12/08/2020
B Indiana	Agent	Approved	02/26/2015
B Louisiana	Agent	Approved	12/17/2008
B Mississippi	Agent	Approved	03/07/2025



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	12/02/2020
B Oklahoma	Agent	Approved	07/27/2022
B Tennessee	Agent	Approved	12/13/2006
B Texas	Agent	Approved	09/16/2003
IA Texas	Investment Adviser Representative	Restricted Approval	12/06/2018

Branch Office Locations

EDWARD JONES
109-B WEST PINE STREET
SHERIDAN, AR 72150



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	09/06/2002
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/26/2002
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/04/2002 - 10/02/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	LITTLE ROCK, AR
B	09/09/2002 - 10/02/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ

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
09/2003 - 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.

Cody Cattle Ranch
 Type of business: Cattle/Hay
 Sheridan, AR
 Start date: 6/17/2024
 Owner
 Hours per week: 2
 Hours during trading: 0
 Cutting and Selling Hay, Raising and selling cattle
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CTC Properties of Florida
 Type of business: Investment Property
 Destin, FL
 Start date: 2/27/2026
 manager
 Hours per week: 0
 Hours during trading: 0
 Owner of Investment/rental property



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	1

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 1

Reporting Source: Individual

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

Allegations: 7/7/08; CLIENT STATES HE ROLLED OVER HIS RETIREMENT ACCOUNT TO WHAT HE UNDERSTOOD WAS A "SECURE ACCOUNT". CLIENT ALLEGES HE WAS ADVISED THE INVESTMENT WOULD PAY 10% INTEREST (AVERAGE) AND THAT IT WOULD COST APPROXIMATELY \$5,000.00 TO PURCHASE; HOWEVER, HE WOULD RECEIVE THESE FUNDS BACK WITHIN SIX MONTHS. CLIENT STATES, IT WAS NOT UNTIL SEVERAL MONTHS LATER, HE LEARNED THE FUNDS WERE IN THE STOCK MARKET. CLIENT ALLEGES WHEN HE COMPLAINED TO THE FA HE QUESTIONED HOW HE COULD GET HIS MONEY BACK AND HE WAS ADVISED HE WOULD HAVE TO DIE OR BEGIN TAKING WITHDRAWALS. CLIENT REQUESTS A REIMBURSEMENT OF THE PRINCIPAL AMOUNT INVESTED. LOSSES ARE APPROXIMATELY \$22,638.24.

Product Type: Annuity-Variable

Alleged Damages: \$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: 05/04/2009

**Complaint Pending?**

No

Status:

Denied

Status Date:

06/11/2009

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE ANNUITY WAS ISSUED ON 06/07/08. ON 06/10/08, THE CLIENT SIGNED A TRANSFER OF ASSETS: ANNUITY TO VARIABLE ANNUITY ACKNOWLEDGEMENT LETTER IN WHICH HE INDICATES HIS UNDERSTANDING THAT THE VALUE OF THE ANNUITY IS BASED ON THE PERFORMANCE OF THE UNDERLYING SUB-ACCOUNTS AND WILL FLUCTUATE. OUR RECORDS REFLECT THE ANNUITY WAS PURCHASED WITH A PRINCIPAL FIRST RIDER WHICH ALLOWS A CLIENT WHO IS USING THEIR ANNUITY FOR RETIREMENT INCOME TO WITHDRAW UP TO 7% OF A BENEFIT AMOUNT EACH CONTRACT YEAR FOR A CERTAIN NUMBER OF YEARS REGARDLESS OF MARKET PERFORMANCE. IF MORE THAN THE MAXIMUM PERCENTAGE IS WITHDRAWN, THERE COULD BE NEGATIVE CONSEQUENCES ON THE INCOME GUARANTEE. OUR RECORDS REFLECT THE CLIENT BEGAN TAKING WITHDRAWALS (\$844.00 PER MONTH) IN 09/20/08. THE FA HAS INDICATED HE EXPLAINED THE FUNDS WOULD INITIALLY BE INVESTED IN A FIXED SUB-ACCOUNT AND WOULD GRADUALLY BE MOVED INTO OTHER SUB-ACCOUNTS. THE FA HAS FURTHER INDICATED HE EXPLAINED THE EARNINGS RECEIVED FROM THE FIXED SUB-ACCOUNT MAY ASSIST IN OFFSETTING THE COMMISSION CHARGE. BASED ON OUR REVIEW THE ANNUITY WAS PURCHASED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION. WE CERTAINLY UNDERSTAND THE CLIENT'S CONCERN RELATED TO THE DECLINE IN THE VALUE OF THE ANNUITY; HOWEVER, WE HAVE BEEN EXPERIENCING UNPRECEDENTED, TUMULTUOUS MARKET CONDITIONS WHICH HAVE HAD A SIGNIFICANT IMPACT ON VALUATIONS. IT DOES NOT APPEAR THE FA MADE ANY GUARANTEES AS TO THE PERFORMANCE OF THE INVESTMENT. WE BELIEVE THAT SOME OF THE CLIENT'S CONCERNS MADE BE ADDRESSED THROUGH A REVIEW OF THE BENEFITS ASSOCIATED WITH THE RIDER. WE WOULD SUGGEST THAT THE CLIENT CONSIDER ESTABLISHING AN APPOINTMENT WITH THE FA TO REVIEW THE INVESTMENT. AS A RESULT OF OUR REVIEW, WE WILL BE MAKING NO ADJUSTMENTS TO THE ACCOUNT IN REGARD TO THIS MATTER.



End of Report

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