IAPD Report

Jahnnie Alan Brake

CRD# 4595531

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

Jahnnie Alan Brake (CRD# 4595531)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	12/10/2002
IA	EDWARD JONES	CRD# 250	02/07/2007

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	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 **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	12/10/2002
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	02/03/2003
B	Alabama	Agent	Approved	02/18/2020
B	Alaska	Agent	Approved	02/02/2024
B	Arizona	Agent	Approved	03/29/2004
B	California	Agent	Approved	02/28/2003
B	Colorado	Agent	Approved	05/01/2006
B	Florida	Agent	Approved	01/14/2010
B	Georgia	Agent	Approved	12/12/2006
B	Iowa	Agent	Approved	12/19/2025
B	Kansas	Agent	Approved	01/02/2003

Qualifications

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	02/07/2007
B	Kentucky	Agent	Approved	12/20/2016
B	Michigan	Agent	Approved	02/14/2007
B	Mississippi	Agent	Approved	05/17/2022
B	Missouri	Agent	Approved	01/02/2003
B	Montana	Agent	Approved	08/16/2023
B	Nebraska	Agent	Approved	02/23/2015
B	Nevada	Agent	Approved	11/10/2020
B	New Jersey	Agent	Approved	10/21/2020
B	North Carolina	Agent	Approved	12/08/2025
B	Oklahoma	Agent	Approved	12/08/2025
B	Oregon	Agent	Approved	07/25/2016
B	South Dakota	Agent	Approved	01/06/2022
B	Tennessee	Agent	Approved	06/04/2003
B	Texas	Agent	Approved	01/09/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	08/21/2014
B	Vermont	Agent	Approved	03/12/2026
B	Washington	Agent	Approved	01/24/2020

Qualifications

Branch Office Locations

EDWARD JONES
904 S Kansas Ave
TOPEKA, KS 66612-0000

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	12/09/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/26/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
10/2002 - 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	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:	CLIENT CLAIMS THE FA GAVE BAD ADVICE IN REGARDS TO THE FEDERAL HOME LOAN MORTGAGE PREFERRED STOCK HE PURCHASED FROM HIM ON DECEMBER 4, 2007. CLIENT CLAIMS HE WAS TOLD HE WOULD ALWAYS GET PAID BEFORE OTHER STOCK DIVIDENDS. CLIENT STATES HE PURCHASED THE INVESTMENT FOR $10,011.15 AND ONLY RECEIVED DIVIDENDS FOR THE FIRST 3 QUARTERS HE OWNED IT. CLIENT STATES HE LATER SOLD IT FOR $607.74 IN 2009. AFTER THE DIVIDENDS HE RECEIVED, CLIENT CLAIMS HE LOST $8,872.77. CLIENT ALSO CLAIMS THE FA GAVE HIM BAD ADVICE WHEN HE TALKED HIM INTO SELLING SGHSX AND PURCHASING ITHAX. CLIENT STATES THE FA TOLD HIM SGHSX WAS TOO AGGRESSIVE AND ITHAX WOULD BE SAFER. CLIENT CLAIMS HAD HE NOT SWITCHED FUNDS HE WOULD HAVE GAINED APPROXIMATELY $16,815.00 BASED ON TODAY'S PRICES. AS A RESULT OF THE FA'S RECOMMENDATIONS, THE CLIENT STATES IT HAS COST HIM APPROXIMATELY $25,687.00. FILING REQUIRED.
Product Type:	Mutual Fund
Alleged Damages:	$25,687.00
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:	06/27/2011
Complaint Pending?	No
Status:	Denied
Status Date:	06/30/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	WHEN THE FA RECOMMENDED FEDERAL HOME LOAN MORTGAGE CORPORATION PREFERRED STOCK, THE FITCH RATING WAS A+. UNTIL AUGUST 22, 2008 MOODY'S RATING WAS A1. ON SEPTEMBER 7, 2008 IT WAS ANNOUNCED FANNIE MAE AND FREDDIE MAC HAD BEEN PUT UNDER THE CONSERVATORSHIP OF THE FHFA. THIS ACTION WAS UNFORESEEN AND UNEXPECTED. AS A RESULT MOODY'S CHANGED THE CREDIT RATING TO BAA3. AGAIN, THE FEDERAL TAKEOVER OF THESE ORGANIZATIONS COULD NOT BE PREDICTED. IN THIS CASE INVESTORS AND INVESTMENT FIRMS LEARNED OF THE TAKEOVER AFTER THE FACT, ELIMINATING TIME TO MAKE INVESTMENT CHANGES OR RECOMMENDATIONS. WHEN THE FA MADE THE RECOMMENDATION TO SELL SGHSX AND PURCHASE ITHAX, CLIENTS PORTFOLIO WAS 50% INCOME OF WHICH 20% WAS IN AGG INCOME. THE CLIENTS IRA INVESTMENT OBJECTIVES WERE GROWTH AND GROWTH/INCOME BASED ON THE VERIFICATION LETTER THE CLIENT SIGNED. TO REBALANCE THE CLIENTS PORTFOLIO THE FA SUGGESTED SELLING SGHSX AND REPLACING IT WITH ITHAX TO MEET THE CLIENTS LONG TERM GOALS, RISK TOLERANCE, AND STATED OBJECTIVES. ITHAX IS A GROWTH FUND; THEREFORE, BASED ON THE CLIENTS OBJECTIVES, APPEARED TO BE FAR MORE SUITABLE THEN AN AGG INCOME INVESTMENT. FURTHER, ONCE THE INVESTMENTS LEFT EJ, ANY FURTHER RECOMMENDATIONS OR ACTIONS RELATED TO THE INVESTMENTS WERE OUT OF OUR CONTROL. WE BELIEVE THE FA MADE THE RECOMMENDATION TO PURCHASE BOTH INVESTMENTS IN GOOD FAITH, BASED ON THE CLIENTS STATED OBJECTIVES, RISK TOLERANCE, AND LONG TERM FINANCIAL GOALS. THE VALUE OF ANY INVESTMENT IS ATTRIBUTED TO CIRCUMSTANCES BEYOND OUR CONTROL AND MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. IN LIGHT OF OUR REVIEW, WE BELIEVE, HAD THE CLIENT FELT THE INVESTMENT RECOMMENDATIONS WERE NOT SUITABLE, THE CLIENT WOULD HAVE BROUGHT THIS MATTER TO OUR ATTENTION IN 2007 WHEN THE RECOMMENDATIONS WERE MADE. REIMBURSEMENT DENIED.

End of Report

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