



IAPD Report

Declan John McClelland

CRD# 4741907

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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

Declan John McClelland (CRD# 4741907)

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 **10/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/26/2004
IA	EDWARD JONES	CRD# 250	03/06/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **33** 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	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 **33** 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	02/26/2004
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	04/12/2004
B	Alabama	Agent	Approved	03/05/2004
IA	Alabama	Investment Adviser Representative	Approved	03/06/2007
B	Arkansas	Agent	Approved	07/11/2012
B	California	Agent	Approved	06/03/2011
B	Florida	Agent	Approved	12/18/2006
B	Georgia	Agent	Approved	04/22/2010
B	Illinois	Agent	Approved	06/19/2014
B	Iowa	Agent	Approved	05/06/2025
B	Kentucky	Agent	Approved	03/10/2023



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	09/13/2006
B	Maryland	Agent	Approved	08/04/2025
B	Massachusetts	Agent	Approved	01/30/2017
B	Michigan	Agent	Approved	01/15/2015
B	Minnesota	Agent	Approved	10/15/2025
B	Mississippi	Agent	Approved	04/10/2008
B	Missouri	Agent	Approved	05/19/2011
B	Montana	Agent	Approved	09/04/2025
B	Nevada	Agent	Approved	11/03/2021
B	New Hampshire	Agent	Approved	06/30/2020
B	New Jersey	Agent	Approved	05/03/2019
B	New Mexico	Agent	Approved	01/04/2024
B	New York	Agent	Approved	02/17/2016
B	North Carolina	Agent	Approved	03/28/2006
B	Ohio	Agent	Approved	08/22/2013
B	Oklahoma	Agent	Approved	02/16/2022
B	Pennsylvania	Agent	Approved	08/31/2012
B	Rhode Island	Agent	Approved	01/31/2024
B	South Carolina	Agent	Approved	12/02/2015



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	03/18/2011
B Texas	Agent	Approved	07/19/2012
IA Texas	Investment Adviser Representative	Restricted Approval	12/11/2018
B Virginia	Agent	Approved	08/25/2005
B West Virginia	Agent	Approved	06/28/2007
B Wisconsin	Agent	Approved	02/23/2022
B Wyoming	Agent	Approved	04/01/2022

Branch Office Locations

EDWARD JONES
2001 W 1st Street
SUITE B
GULF SHORES, AL 36542-0000



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	02/25/2004
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	02/27/2007
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B Uniform Securities Agent State Law Examination (S63)	Series 63	02/27/2004
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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:

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
12/2003 - 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.

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
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Customer Dispute	1
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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: 8/5/10-12/6/10; CLIENT CLAIMS HE RECEIVED HIS STATEMENT ON DECEMBER 4, 2010 AND BECAME EXTREMELY IRATE IN WHAT HE SAW. CLIENT IS REQUESTING ALL OF HIS INVESTMENTS BE SOLD IN BOTH OF THE ABOVE MENTIONED ACCOUNTS. CLIENT WANTS A SEPARATE CHECK FOR EACH ACCOUNT AND STATES HE WILL BE SENDING A LONGER STATEMENT EXPLAINING HIS DISPLEASURE IN THE NEXT DAY OR TWO. CLIENT PROVIDED THE LONGER STATEMENT TO ME IN WRITING DATED 12/17/10. THE STATEMENT FROM THE CLIENT STATED HE HAD EXPRESSLY ADVISED THE FA HE DID NOT WANT TO PURCHASE MUTUAL FUNDS. THE CLIENT STATED HE WAS UNDER THE ASSUMPTION HE WAS PURCHASING "CLASS A" ALABAMA TAX FREE BONDS. WHEN THE CLIENT GOT HIS STATEMENT HE STATES HE ALSO RECEIVED A PAMPHLET TITLED "FRANKLIN ALABAMA TAX FREE INCOME FUND". THE CLIENT STATES THE FA, WITHOUT HIS PERMISSION HAD INVESTED HIS MONEY INTO A MUTUAL FUND WITH A 4.27% LOAD. THE CLIENT WANTS ITEMIZED STATEMENTS DISCLOSING THE ACCOUNT ACTIVITY FOR BOTH OF HIS ACCOUNTS AND HE WOULD LIKE TO BE REIMBURSED THE 4.27% SALES CHARGE FOR THE PURCHASE HE STATES HE DID NOT AUTHORIZE AND WAS DONE WITHOUT HIS KNOWLEDGE. THE CLIENT HAS SPECIFICALLY STATED HE DOES NOT WANT TO DISCUSS THIS MATTER OVER THE PHONE, HE ONLY WANTS WRITTEN COMMUNICATION. FILING REQUIRED, AFTER THE INVESTMENTS WERE SOLD IN THE ACCOUNTS (PER THE CLIENT'S ORIGINAL CORRESPONDENCE) THE LOSSES WERE OVER \$5,000.00.

Product Type: Debt-Municipal



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

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: 12/13/2010

Complaint Pending? No

Status: Denied

Status Date: 12/23/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement

REVIEWED THE CLIENT'S JOINT ACCOUNT, IRA ACCOUNT, ACCOUNT NOTES, SPOKE WITH THE FSD, AND THE FA. INVESTIGATION REVEALED THE FA PRESENTED THE FRANKLIN ALABAMA TAX FREE FUND FOR THE CLIENT'S JOINT ACCOUNT BASED ON THE CLIENTS REQUEST TO STAY OUT OF STOCKS AND STOCK MUTUAL FUNDS. THE FA ADVISED HE MET WITH THE CLIENT ON TWO OCCASIONS IN HIS OFFICE. FA PROVIDED THE CLIENT WITH A FUND FACT SHEET TO TAKE HOME AFTER GOING OVER THE DETAILS OF THE FUND, INCLUDING THE ANNUAL EXPENSES, A VS. C SHARES, AND UP-FRONT COSTS. THIS IS EVIDENCED BY THE CLIENT'S UNDERSTANDING OF THE ANNUAL FEES RELATED TO A AND C SHARES IN HIS LETTER. THE CLIENT STATES IN HIS LETTER HE WAS UNDER THE ASSUMPTION HE WAS PURCHASING CLASS "A" ALABAMA TAX FREE BONDS. EXPLAINED TO THE CLIENT, HE DID PURCHASE CLASS "A" ALABAMA TAX FREE BONDS WITHIN A MUTUAL FUND. FURTHER EXPLAINED INDIVIDUAL BONDS ARE NOT CLASSIFIED IN SHARE CLASSES. WHILE THE CLIENT STATED HE DID NOT WANT TO OWN MUTUAL FUNDS, OUR RECORDS INDICATE THE CLIENT PURCHASED A MUTUAL FUND IN HIS IRA ACCOUNT IN AUGUST 2010 AND SUBSEQUENTLY ADDED TO THE POSITION IN OCTOBER 2010. THIS INDICATES THE CLIENT WAS FAMILIAR WITH MUTUAL FUNDS AND NOT ADVERSE TO OWNING THEM. WE BELIEVE THE FA MADE HIS RECOMMENDATION IN GOOD FAITH BASED ON THE CLIENTS REQUEST TO STAY OUT OF INDIVIDUAL STOCKS AND STOCK-BASED INVESTMENTS. FINALLY, THE CLIENT DID NOT MAKE THE DECISION TO PURCHASE THE FUND UNTIL HIS SECOND APPOINTMENT WITH THE FA, AT WHICH TIME HE ADVISED THE CLIENT HE FELT THE "A" SHARE WAS THE MOST APPROPRIATE AND ADVISED THE FA TO PROCEED WITH THE PURCHASE. IN LIGHT OF OUR INVESTIGATION THE CLIENTS REQUEST FOR REIMBURSEMENT RELATED TO THIS MATTER WAS DENIED.



End of Report

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