IAPD Report

Adam Richard Jackson

CRD# 5039488

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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

Adam Richard Jackson (CRD# 5039488)

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 **04/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	11/29/2005
IA	EDWARD JONES	CRD# 250	04/03/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **20** 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 **20** 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	11/29/2005
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	01/23/2006
B	Alabama	Agent	Approved	12/05/2017
B	Arizona	Agent	Approved	01/05/2016
B	Arkansas	Agent	Approved	03/16/2011
B	California	Agent	Approved	10/25/2006
B	Colorado	Agent	Approved	12/10/2007
B	District of Columbia	Agent	Approved	03/17/2008
B	Florida	Agent	Approved	02/02/2006
B	Georgia	Agent	Approved	01/04/2016
B	Illinois	Agent	Approved	12/06/2010

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	12/14/2005
IA	Indiana	Investment Adviser Representative	Approved	04/03/2007
B	Kentucky	Agent	Approved	08/14/2007
B	Michigan	Agent	Approved	01/05/2016
B	Mississippi	Agent	Approved	02/11/2014
B	Missouri	Agent	Approved	02/10/2014
B	North Carolina	Agent	Approved	10/25/2011
B	Ohio	Agent	Approved	05/22/2006
B	Pennsylvania	Agent	Approved	02/06/2015
B	South Carolina	Agent	Approved	06/26/2018
B	Texas	Agent	Approved	06/25/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	01/17/2019
B	Virginia	Agent	Approved	09/13/2010

Branch Office Locations

EDWARD JONES
201 S CHESTNUT ST
SEYMOUR, IN 47274

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	11/28/2005

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/30/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/01/2005

PROFESSIONAL DESIGNATIONS

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

No information reported.

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
09/2005 - 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.

A&A Jackson Properties
Type of business: Real Estate
Brownstown, IN
Start date: 12/9/2019
Member
Hours per week: 0
Hours during trading: 0
no responsibilities

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:	PLAINTIFFS ALLEGE THE FINANCIAL ADVISORS DID NOT COMMUNICATE TO THEM THE RISKS ASSOCIATED WITH THE INVESTMENTS PLAINTIFFS PURCHASED IN 2015.
Product Type:	No Product
Alleged Damages:	$112,000.00
Alleged Damages Amount Explanation (if amount not exact):	PLAINTIFFS SEEK A JUDGMENT IN AN AMOUNT THAT WILL FULLY COMPENSATE THEM FOR DAMAGES, TREBLE DAMAGES, ATTORNEY FEES, AND OTHER JUST AND PROPER RELIEF.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-03586
Date Notice/Process Served:	10/15/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/29/2019

Monetary Compensation Amount:	$100,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	JACKSON COUNTY SUPERIOR COURT
Location of Court:	JACKSON COUNTY, IN
Docket/Case #:	C-36DOI-1611-PL-44
Date Notice/Process Served:	11/14/2016
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	12/02/2019

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT'S ATTORNEY STATES THE CLIENT HAS BEEN IN THE HOSPITAL AND HAS BEEN DIAGNOSED WITH VARIOUS ISSUES AND THE ATTORNEY FEELS THE CLIENT'S MENTAL FACULTIES WERE WEAKENED. ATTORNEY CLAIMS IT WAS CLEAR TO ALL WHO KNEW THE CLIENT THAT THE CLIENT WAS STUGGLING WITH DAY TO DAY TASKS. HOWEVER ON OR AROUND JANUARY 19, 2010 THE FA CONTACTED THE CLIENT AND SOLD HIM AN ANNUITY. ATTORNEY STATES THE CLIENT HAS IMPROVED DRASTICALLY WITHIN THE LAST FEW WEEKS AND WITH HIS RETURN OF HIS FULL MENTAL FACULTIES HE WOULD NOT HAVE ENTERED INTO AN ANNUITY CONTRACT. CLIENT'S ATTORNEY IS REQUESTING THE CLIENT BE RELEASED FROM THIS CONTRACT WITHOUT BEING CHARGED ANY PENALTIES OR FEES. FILING REQUIRED, SURRENDER CHARGE EXCEEDS $5,000. ***LITIGATION: PLAINTIFF CLAIMS THAT IN 2009, WHILE CLAIMANT LACKED MENTAL CAPACITY DUE TO ILLNESS, HE PURCHASED A PROTECTIVE LIFE ANNUITY THROUGH EDWARD JONES FOR $194,000. PLAINTIFF NOW SEEKS RECISION OF THE INSURANCE CONTRACT BASED UPON ALLEGATIONS OF FRAUD, UNDUE INFLUENCE AND BREACH OF FIDUCIARY DUTY. (AMOUNT CLAIMED: $194,000 IN COMPENSATORY DAMAGES PLUS ATTORNEY FEES AND COSTS.)
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF $5000.00.
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:	05/10/2010
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	07/12/2010
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	JACKSON COUNTY CIRCUIT COURT
Location of Court:	COUNTY OF JACKSON, INDIANA
Docket/Case #:	36C01-1012-CJ-25
Date Notice/Process Served:	12/20/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/12/2011
Monetary Compensation Amount:	$5,715.43
Individual Contribution Amount:	$0.00
Broker Statement	OUR RECORDS REFLECT DR. CLIENT'S RETIREMENT ACCOUNT AND DR. & MRS. CLIENT'S JOINT ACCOUNT WERE ESTABLISHED IN MARCH 2008. FA BELIEVED HE HAD GOTTEN TO KNOW CLIENT WELL AND IN AUGUST 2009 HE COMPLETED A RISK TOLERANCE QUESTIONNAIRE WITH DR. & MRS. CLIENT. ACCORDING TO FA, IN JANUARY 2010 HE CONTACTED CLIENT TO DISCUSS THE PROTECTIVE ANNUITY AS AN INVESTMENT OPTION. IT IS OUR UNDERSTANDING CLIENT LIKED THE IDEA AND MADE AN APPOINTMENT WITH FA TO DISCUSS THE DETAILS OF THE ANNUITY IN PERSON. FA STATED DURING THE MEETING AT THE BRANCH OFFICE THAT THE CLIENT DID NOT APPEAR TO BE SICK NOR DID HE INDICATE TO HIM AT ANY TIME THAT HE DID NOT COMPREHEND OR UNDERSTAND THE DETAILS OF THEIR DISCUSSION. ON JANUARY 22, 2010, CLIENT SIGNED AN ACKNOWLEDGMENT LETTER CONFIRMING THE ANNUITY PURCHASE. FA STATED CLIENT PREFERRED THE ANNUITY OVER MUTUAL FUNDS FOR THE INCOME RIDER, DEATH BENEFIT AND NURSING HOME WAIVER. CLIENT ALSO SIGNED THE DELIVERY RECEIPT FOR THE ABOVE-REFERENCED ANNUITY ON FEBRUARY 3, 2010. IT IS OUR UNDERSTANDING CLIENT WAS GOING TO BEGIN TAKING INCOME FROM THE ANNUITY AFTER THE SIX-MONTH DOLLAR COST AVERAGING (DCA) WAS COMPLETED. HOWEVER, FA HAS STATED THAT HE AND THE CLIENT ARE CURRENTLY IN DISCUSSIONS REGARDING THE POSSIBILITY OF MAKING CHANGES TO THE CURRENT DCA. IN CLOSING, FA HAS STATED HE WAS NOT INFORMED OR AWARE OF ANY CONCERNS ABOUT CLIENT'S MEDICAL CONDITION PRIOR TO OR DURING THE APPOINTMENT(S)

RELATING TO THE ANNUITY TRANSACTION. FURTHER, FA HAS INDICATED HE WAS NOT AWARE CLIENT HAD CONCERNS REGARDING THE ANNUITY TRANSACTION UNTIL OUR FIRM RECEIVED THE ATTORNEY'S LETTER DATED MAY 7, 2010. BASED ON OUR REVIEW, WE RESPECTFULLY DENY THEIR REQUEST TO RELEASE CLIENT FROM THE ANNUITY CONTRACT WITHOUT PENALTIES OR FEE. CLAIM DENIED. ***LITIGATION: SETTLED FOR $5,715.43

End of Report

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