IAPD Report

Tyler Preston Swaffar

CRD# 5377900

Section Title | **Page(s)**

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

Tyler Preston Swaffar (CRD# 5377900)

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 **08/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	08/27/2007
IA	EDWARD JONES	CRD# 250	10/09/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **17** 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 **17** 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	08/27/2007
B	NYSE American LLC	General Securities Representative	Approved	09/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	08/27/2007
B	New York Stock Exchange	General Securities Representative	Approved	10/29/2007
B	Alabama	Agent	Approved	08/13/2021
B	Arizona	Agent	Approved	06/15/2021
B	Arkansas	Agent	Approved	09/13/2007
B	California	Agent	Approved	05/30/2008
B	Colorado	Agent	Approved	10/16/2013
B	Florida	Agent	Approved	05/17/2012
B	Kansas	Agent	Approved	01/18/2008
B	Kentucky	Agent	Approved	08/28/2019
B	Missouri	Agent	Approved	09/14/2007

Qualifications

	Regulator	Registration	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	04/25/2011
B	Nevada	Agent	Approved	10/08/2010
B	New Mexico	Agent	Approved	12/18/2020
B	Oklahoma	Agent	Approved	01/18/2008
B	Texas	Agent	Approved	11/03/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	12/17/2018
B	Utah	Agent	Approved	08/01/2017
B	Virginia	Agent	Approved	03/30/2015
B	Washington	Agent	Approved	12/09/2020
B	Wisconsin	Agent	Approved	08/08/2011

Branch Office Locations

EDWARD JONES
3929 E 7TH STREET SUITE D
JOPLIN, MO 64801

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
	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	08/23/2007

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/07/2007

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
07/2007 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	SAINT 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.

MSSU Robert W Plaster School of Business Advisory Board
Joplin, MO
Start date: 11/1/2013
Board Member
Hours per week: 0
Hours during trading: 0
Serve on the MSSU Robert W. Plaster School of Business Advisory Board by attending 2 meetings per year.

Rental property
Carthage, MO
Start date: 7/1/2013
Owner/Landlord
Hours per week: 1
Hours during trading: 0
Manage, maintain and repair property.

God's Resort
Joplin, MO
Start date: 1/1/2019
President
Hours per week: 0
Hours during trading: 0
Serve as President of the board of God's Resort

Self - Tyler & Rosie Swaffar
Type of business: Rental Property
Carthage, MO
Start date: 7/1/2013
Owner/Landlord
Hours per week: 0

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Hours during trading: 0
Manage, maintain and repair property.

The Cabin at Wildwood
Type of business: Nighly rental
Shell Knob, MO
Start date: 5/6/2019
Owner/Landlord
Hours per week: 2
Hours during trading: 0
Manage, maintain and repair

Table Rock A-framed Hideaway
Type of business: Nightly rental
Shell Knob, MO
Start date: 8/7/2023
Operator
Hours per week: 0
Hours during trading: 0
Property maintenance

Table Rock A-framed Hideaway
Type of business: Nightly rental
Shell Knob, MO
Start date: 8/7/2023
Operator
Hours per week: 0
Hours during trading: 0
market & manage

Table Rock Lake Sans Souci Oasis
Type of business: Nightly rental
Shell Knob, MO
Start date: 7/1/2023
Owner/Operator
Hours per week: 2
Hours during trading: 0
maintain, repair and manage

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:	04/01/09-04/01/10: THE CLIENTS CLAIM THEY MET WITH THE FA IN EARLY 2009 TO DISCUSS MOVING THEIR ASSETS TO EDWARD JONES. THE CLIENT CLAIMS THEY BEGAN THE PROCESS AND LEARNED THEY COULD NOT TRANSFER THEIR JACKSON NATIONAL ANNUITY TO EDWARD JONES. THE CLIENTS STATE THEY CONTACTED THE FA TO FIND OUT HOW TO HANDLE THE ISSUE. THE CLIENTS STATE THE FA ADVISED THEM TO HAVE THE AMOUNT LIQUIDATED AND SENT TO THEM ($13,058.63). THE CLIENT CLAIM THEY DID AND HAD THE MONEY REINVESTED AT EDWARD JONES. CLIENTS CLAIM WHEN THEY MET WITH THEIR CPA TO DO THEIR TAXES THIS YEAR THEY LEARNED THEY OWNED $7,771.00 DUE TO THE LIQUIDATION OF THE ANNUITY. THE CLIENT FEELS THEY SHOULD HAVE BEEN ADVISED NOT TO TRANSFER IRA MONEY AND TO LEAVE IT AT THEIR PREVIOUS FIRM SO THEY WOULD NOT HAVE INCURRED THE $7,7710.00 PENALTY. CLIENT FEELS THEY SUFFERED FROM THIS FINANCIAL ERROR.
Product Type:	Annuity-Variable
Alleged Damages:	$7,771.00
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:	06/22/2010
Complaint Pending?	No
Status:	Settled
Status Date:	08/09/2010
Settlement Amount:	$4,354.00
Individual Contribution Amount:	$500.00
Broker Statement	ACCORDING TO THE FA HE REVIEWED THE CLIENTS' STATEMENTS DURING A MEETING HE HAD WITH THEM IN EARLY 2009. THE FA STATES HE DISCOVERED THE JACKSON NATIONAL ANNUITY ON ONE OF THE STATEMENTS. THE FA CLAIMS HE HAD THE CLIENT CALL AND GET DETAILS ON THE ANNUITY TO FIND OUT IF IT MADE SENSE TO LIQUIDATE OR MOVE THE ANNUITY. THE FA STATES HE DID UNDERSTAND IT WAS IN AN IRA AND QUALIFIED MONEY. ACCORDING TO THE FA THE CLIENT WAS NOT ABLE TO TRANSFER THE ANNUITY, SO THE FA SUGGESTED THEY LIQUIDATE IT AND BRING THE PROCEEDS INTO EDWARD JONES TO BE DEPOSITED INTO AN IRA ACCOUNT AND BE REINVESTED. THE CLIENT AGREED AND LIQUIDATED THE ANNUITY. THE FA CLAIMS HE FAILED TO OPEN AN IRA ACCOUNT BEFORE THE CLIENT BROUGHT THE PROCEEDS TO THE BRANCH. WHEN THE CLIENT BROUGHT IN THE PROCEEDS FROM THE QUALIFIED ANNUITY, THEY WERE DEPOSITED INTO THE CLIENTS' TRUST ACCOUNT. THE FA CLAIMS HE DID NOT CATCH IT AND AS A RESULT, THE CLIENTS' PROCEEDS WERE CONSIDERED A DISTRIBUTION, RESULTING IN A TAX LIABILITY. THE CLIENT CLAIMS THEY HAD TO PAY 60% TAXES ON THE DISTRIBUTION. ACCORDING TO THE FA THE CLIENT ALSO HAD A LARGE GAIN ON LAND THEY SOLD WHICH RESULTED IN A PORTION OF THEIR TAX LIABILITY. THE FA ALSO CLAIMS HE HAD OBTAINED VERY ACCURATE INCOME INFORMATION DURING HIS KYC WITH THE CLIENT AND DETERMINED THEY WERE IN APPROXIMATELY THE 12% TAX BRACKET, AS A RETIRED COUPLE. BASED ON THIS INFORMATION, WE OFFERED THE CLIENT $1,567.00 TO REIMBURSE THEM AT A RATE OF 12% FOR THEIR TAX LIABILITY. A SETTLEMENT OF CLAIM WAS SENT ON 6/28/10. THE CLIENT HAS 30 DAYS TO RETURN THE OFFER, OTHERWISE IT WILL BE WITHDRAWN. CLIENT SUBMITTED A LETTER FROM CPA STATING THIS RESULTED IN ADDITIONAL TAXES TOTALING $4,354.00 (FEDERAL AND STATED). A NEW SETTLEMENT OF CLAIM WAS SENT ON 7/27/10. THE CLIENT HAS 20 DAYS TO RETURN THE OFFER. RECEIVED SIGNED AND NOTARIZED SETTLEMENT OF CLAIM, CHECK WAS ISSUED 8/9/10.

End of Report

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