



IAPD Report

Daniel Ledet

CRD# 5681876

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

Daniel Ledet (CRD# 5681876)

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 **02/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	12/17/2025
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	12/18/2025

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** 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	CETERA INVESTMENT ADVISERS LLC	105644	COVINGTON, LA	06/27/2022 - 12/15/2025
B	CETERA INVESTMENT SERVICES LLC	15340	COVINGTON, LA	06/25/2022 - 12/15/2025
B	BRIGHTHOUSE SECURITIES, LLC	285300	CHARLOTTE, NC	09/10/2018 - 06/29/2022

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 **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Principal	Approved	12/17/2025
B 24X National Exchange LLC	General Securities Representative	Approved	12/17/2025
B BOX Exchange LLC	General Securities Principal	Approved	12/17/2025
B BOX Exchange LLC	General Securities Representative	Approved	12/17/2025
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	01/12/2026
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	12/17/2025



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B Cboe Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B FINRA	General Securities Principal	Approved	12/17/2025
B FINRA	General Securities Representative	Approved	12/17/2025
B FINRA	General Securities Sales Supervisor	Approved	01/12/2026
B Investors' Exchange LLC	General Securities Principal	Approved	12/17/2025
B Investors' Exchange LLC	General Securities Representative	Approved	12/17/2025
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	12/17/2025
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	12/17/2025
B MEMX LLC	General Securities Principal	Approved	12/17/2025
B MEMX LLC	General Securities Representative	Approved	12/17/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	01/12/2026



Qualifications

Regulator	Registration	Status	Date
B MIAX Emerald, LLC	General Securities Principal	Approved	12/17/2025
B MIAX Emerald, LLC	General Securities Representative	Approved	12/17/2025
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B MIAX PEARL, LLC	General Securities Principal	Approved	12/17/2025
B MIAX PEARL, LLC	General Securities Representative	Approved	12/17/2025
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B MIAX Sapphire	General Securities Principal	Approved	12/17/2025
B MIAX Sapphire	General Securities Representative	Approved	12/17/2025
B MIAX Sapphire	General Securities Sales Supervisor	Approved	01/12/2026
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	12/17/2025
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	12/17/2025
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B NYSE American LLC	General Securities Principal	Approved	12/17/2025
B NYSE American LLC	General Securities Representative	Approved	12/17/2025
B NYSE American LLC	General Securities Sales Supervisor	Approved	01/12/2026
B NYSE Arca, Inc.	General Securities Principal	Approved	12/17/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	12/17/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	01/12/2026



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Principal	Approved	12/17/2025
B NYSE National, Inc.	General Securities Representative	Approved	12/17/2025
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B NYSE Texas, Inc.	General Securities Principal	Approved	12/17/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	12/17/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq GEMX, LLC	General Securities Principal	Approved	12/17/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	12/17/2025
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq ISE, LLC	General Securities Principal	Approved	12/17/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/17/2025
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq MRX, LLC	General Securities Principal	Approved	12/17/2025
B Nasdaq MRX, LLC	General Securities Representative	Approved	12/17/2025
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq PHLX LLC	General Securities Principal	Approved	12/17/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/17/2025
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq Stock Market	General Securities Principal	Approved	12/17/2025



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	12/17/2025
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/12/2026
B Nasdaq Texas, LLC	General Securities Principal	Approved	12/17/2025
B Nasdaq Texas, LLC	General Securities Representative	Approved	12/17/2025
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	01/12/2026
B New York Stock Exchange	General Securities Principal	Approved	12/17/2025
B New York Stock Exchange	General Securities Representative	Approved	12/17/2025
B New York Stock Exchange	General Securities Sales Supervisor	Approved	01/12/2026
B Alabama	Agent	Approved	12/19/2025
B Alaska	Agent	Approved	12/22/2025
B Arizona	Agent	Approved	12/22/2025
B Arkansas	Agent	Approved	12/22/2025
B California	Agent	Approved	12/19/2025
B Colorado	Agent	Approved	12/18/2025
B Connecticut	Agent	Approved	12/19/2025
B Delaware	Agent	Approved	12/19/2025
B District of Columbia	Agent	Approved	12/19/2025
B Florida	Agent	Approved	12/19/2025
B Georgia	Agent	Approved	12/18/2025



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	01/26/2026
B Idaho	Agent	Approved	12/19/2025
B Illinois	Agent	Approved	12/18/2025
B Indiana	Agent	Approved	01/07/2026
B Iowa	Agent	Approved	12/19/2025
B Kansas	Agent	Approved	12/18/2025
B Kentucky	Agent	Approved	12/22/2025
B Louisiana	Agent	Approved	12/18/2025
IA Louisiana	Investment Adviser Representative	Approved	12/18/2025
B Maine	Agent	Approved	12/22/2025
B Maryland	Agent	Approved	01/09/2026
B Massachusetts	Agent	Approved	12/17/2025
B Michigan	Agent	Approved	12/19/2025
B Minnesota	Agent	Approved	12/18/2025
B Mississippi	Agent	Approved	12/18/2025
B Missouri	Agent	Approved	12/18/2025
B Montana	Agent	Approved	12/26/2025
B Nebraska	Agent	Approved	12/18/2025
B Nevada	Agent	Approved	12/18/2025



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	01/06/2026
B New Jersey	Agent	Approved	12/18/2025
B New Mexico	Agent	Approved	12/19/2025
B New York	Agent	Approved	12/18/2025
B North Carolina	Agent	Approved	12/18/2025
B North Dakota	Agent	Approved	01/07/2026
B Ohio	Agent	Approved	12/17/2025
B Oklahoma	Agent	Approved	12/18/2025
B Oregon	Agent	Approved	12/18/2025
B Pennsylvania	Agent	Approved	12/22/2025
B Puerto Rico	Agent	Approved	01/13/2026
B Rhode Island	Agent	Approved	12/18/2025
B South Carolina	Agent	Approved	12/19/2025
B South Dakota	Agent	Approved	12/19/2025
B Tennessee	Agent	Approved	12/19/2025
B Texas	Agent	Approved	12/18/2025
IA Texas	Investment Adviser Representative	Restricted Approval	12/18/2025
B Utah	Agent	Approved	12/18/2025



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	12/18/2025
B Virgin Islands	Agent	Approved	12/19/2025
B Virginia	Agent	Approved	12/22/2025
B Washington	Agent	Approved	12/18/2025
B West Virginia	Agent	Approved	12/23/2025
B Wisconsin	Agent	Approved	12/19/2025
B Wyoming	Agent	Approved	12/22/2025

Branch Office Locations

J.P. MORGAN SECURITIES LLC
 3420 Severn Ave
 Floor 1
 Metairie , LA 70002

J.P. MORGAN SECURITIES LLC
 2400 N. HWY 190
 COVINGTON, LA 70433

J.P. MORGAN SECURITIES LLC
 1400 VETERANS BOULEVARD
 METAIRIE, LA 70005

J.P. MORGAN SECURITIES LLC
 8923 VETERANS BLVD
 METAIRIE, LA 70003

J.P. MORGAN SECURITIES LLC
 1042 Highland Colony Pkwy
 Ridgeland, MS 39157

J.P. MORGAN SECURITIES LLC
 4500 I 55 N
 Ste 103A
 Jackson, MS 39211

J.P. MORGAN SECURITIES LLC
 1415 METAIRIE ROAD
 METAIRIE, LA 70005

J.P. MORGAN SECURITIES LLC
 3580 PONTCHARTRAIN
 SLIDELL, LA 70458

J.P. MORGAN SECURITIES LLC
 350 GAUSE BLVD
 SLIDELL, LA 70458

J.P. MORGAN SECURITIES LLC
 3420 SEVERN AVE
 METAIRIE, LA 70002

J.P. MORGAN SECURITIES LLC
 1943 E. GAUSE BLVD
 SLIDELL, LA 70461

J.P. MORGAN SECURITIES LLC
 315 Ridge Way
 Flowood, MS 39232

J.P. MORGAN SECURITIES LLC
 70430 HWY 21
 COVINGTON, LA 70433

J.P. MORGAN SECURITIES LLC
 100 S Congress St
 Jackson, MS 39201

J.P. MORGAN SECURITIES LLC
 3500 HWY 190



Qualifications

MANDEVILLE, LA 70471

J.P. MORGAN SECURITIES LLC
729 HARRISON AVE
NEW ORLEANS, LA 70124

J.P. MORGAN SECURITIES LLC
5714 Highway 80 E.
Pearl, MS 39208



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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/12/2026
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/23/2025
General Securities Principal Examination (S24)	Series 24	08/14/2023

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/07/2009

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	08/20/2009

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	06/27/2022 - 12/15/2025	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	COVINGTON, LA
B	06/25/2022 - 12/15/2025	CETERA INVESTMENT SERVICES LLC	CRD# 15340	COVINGTON, LA
B	09/10/2018 - 06/29/2022	BRIGHTHOUSE SECURITIES, LLC	CRD# 285300	CHARLOTTE, NC
B	01/07/2014 - 08/15/2018	TRANSAMERICA CAPITAL, INC.	CRD# 8217	DENVER, CO
B	10/01/2012 - 01/15/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	MANDEVILLE, LA
IA	10/01/2012 - 01/15/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	MANDEVILLE, LA
IA	09/30/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW ORLEANS, LA
B	09/01/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW ORLEANS, LA
IA	08/24/2009 - 08/10/2011	EDWARD JONES	CRD# 250	BATON ROUGE, LA
B	08/10/2009 - 08/10/2011	EDWARD JONES	CRD# 250	BATON ROUGE, LA

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
12/2025 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Metairie, LA, United States
06/2022 - 12/2025	CETERA INVESTMENT ADVISERS LLC	IAR	Y	Covington, LA, United States
06/2022 - 12/2025	CETERA INVESTMENT SERVICES LLC	Registered Rep	Y	Saint Cloud, MN, United States
06/2022 - 12/2025	Regions Investment Solutions/Regions Bank	President	Y	Covington, LA, United States
08/2018 - 06/2022	Bighthouse Financial	External Wholesaler II	Y	Charlotte, NC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2014 - 08/2018	TRANSAMERICA CAPITAL INC	Regional Vice President Employee	Y	Denver, CO, 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:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	1/11-4/11; THE CLIENT STATES HE DID NOT AUTHORIZE THE ANNUITY WITHDRAWAL IN JANUARY 2011. HE STATES HIS WIFE AT THE TIME CONTACTED THE FA TO HAVE THE FUNDS WITHDRAWN FROM HIS ANNUITY. HE STATES THE FA DID NOT CONTACT HIM TO CONFIRM THE INSTRUCTIONS. HE STATES THE AMOUNT WITHDRAWN WAS \$57,746.12.
Product Type:	Annuity-Variable
Alleged Damages:	\$57,746.12
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:	04/25/2011
Complaint Pending?	No
Status:	Settled
Status Date:	10/02/2012
Settlement Amount:	\$30,075.12



Individual Contribution Amount: \$0.00

Firm Statement BASED ON THE FIRM'S REVIEW OF THIS MATTER AND DISCUSSION WITH THE CLIENT, A SETTLEMENT OFFER OF \$30,075.12 WAS EXTENDED TO, AND ACCEPTED BY, THE CLIENT.

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Reporting Source: Individual

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

Allegations: 1/11-4/11; THE CLIENT STATES HE DID NOT AUTHORIZE THE ANNUITY WITHDRAWAL IN JANUARY 2011. HE STATES HIS WIFE AT THE TIME CONTACTED THE FA TO HAVE THE FUNDS WITHDRAWN FROM HIS ANNUITY. HE STATES THE FA DID NOT CONTACT HIM TO CONFIRM THE INSTRUCTIONS. HE STATES THE AMOUNT WITHDRAWN WAS \$57,746.12.

Product Type: Annuity-Variable

Alleged Damages: \$57,746.12

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: 04/25/2011

Complaint Pending? No

Status: Settled

Status Date: 10/02/2012

Settlement Amount: \$30,075.12

Individual Contribution Amount: \$0.00

Broker Statement WE HAVE REVIEWED YOUR CONCERN THAT YOUR SPOUSE, WHOM YOU ARE CURRENTLY DIVORCING, WITHDREW \$57,746.12 FROM YOUR ANNUITY IN JANUARY 2011. EDWARD JONES WILL BE WILLING TO CONTINUE DISCUSSING THIS MATTER AFTER THE FINALIZATION OF THE DIVORCE PROCEEDINGS. AT THIS POINT, HOWEVER, ANY OFFER OF SETTLEMENT FROM EDWARD JONES WOULD BE PREMATURE. WE DO NOT KNOW WHAT PORTION OF THE WITHDRAWN FUNDS WERE PROVIDED TO THE CLIENT, WERE USED FOR THE WIFE'S BENEFIT, OR WILL BE RECOVERED FROM OR ALLOCATED IN THE PENDING DISSOLUTION PROCEEDING. WE WOULD BE HAPPY TO RESUME DISCUSSIONS AFTER THE DISSOLUTION IS FINALIZED. BASED ON THE FIRM'S REVIEW OF THIS MATTER AND DISCUSSION WITH THE CLIENT, A SETTLEMENT OFFER OF \$30,075.12 WAS EXTENDED TO, AND ACCEPTED BY, THE CLIENT.



End of Report

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