



IAPD Report

William Owen Edwards

CRD# 722560

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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

William Owen Edwards (CRD# 722560)

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 **08/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/19/1981
IA	EDWARD JONES	CRD# 250	11/18/1988

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **15** 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
Regulatory Event	1
Customer Dispute	8



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 **15** 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	01/19/1981
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	02/20/1981
B	Alabama	Agent	Approved	11/10/2025
B	Arizona	Agent	Approved	03/23/1984
B	California	Agent	Approved	03/28/1984
B	Colorado	Agent	Approved	09/04/2018
B	Illinois	Agent	Approved	08/05/2024
B	Indiana	Agent	Approved	03/06/2024
B	Iowa	Agent	Approved	05/29/2025
B	Kansas	Agent	Approved	10/17/2023
B	Michigan	Agent	Approved	03/26/1987



Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	09/14/1983
B	North Dakota	Agent	Approved	10/25/1981
B	Oregon	Agent	Approved	05/13/2022
B	South Dakota	Agent	Approved	08/14/1982
IA	South Dakota	Investment Adviser Representative	Approved	11/18/1988
B	Texas	Agent	Approved	10/28/1986
IA	Texas	Investment Adviser Representative	Restricted Approval	08/21/2014
B	Washington	Agent	Approved	08/28/1987

Branch Office Locations

EDWARD JONES
631 S ROOSEVELT ST STE B
ABERDEEN, SD 57401



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
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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	01/17/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/1981



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
10/1980 - Present	EDWARD D. JONES & CO., L.P.	OTHER - REG REP	Y	ABERDEEN, SD, 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.

The Blind

Type of business: movie

Covington, LA

Start date: 9/1/2023

investor

Hours per week: 0

Hours during trading: 0

our family foundation is investing in this movie

New Covenant Films LLC

Type of business: film production

Aberdeen, SD

Start date: 2/1/2023

member

Hours per week: 0

Hours during trading: 0

Our family foundation is 50% owner, no day to day responsibilities

Sovereign's Kingdom A, LP

Type of business: streaming platform

Camden, DE

Start date: 1/4/2023

LPT

Hours per week: 0

Hours during trading: 0

No responsibilities

Edwards Family Foundation

aberdeen, SD

Start date: 12/1/2013



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Director
Hours per week: 0
Hours during trading: 0
Manage charitable affairs and investments of the foundation.

Edwards Legacy Family Limited Partnership
Type of business: family farm land
Aberdeen, SD
Start date: 1/1/2013
grantor
Hours per week: 5
Hours during trading: 2
Primary asset--farmland.

Karen L Edwards Family Limited Partnership
Type of business: family farm land
Aberdeen, SD
Start date: 1/1/2013
spouse of grantor
Hours per week: 5
Hours during trading: 2
Primary asset-- farmland.

William O Edwards Family Limited Partnership
Type of business: family farm land
Aberdeen, SD
Start date: 1/1/2013
grantor
Hours per week: 5
Hours during trading: 2
This partnership is managed by W O Edwards Mgmt. Primary asset-- farmland.

Karen L Edwards Mgmt Corp
Type of business: management co
Aberdeen, SD
Start date: 12/26/2012
manage
Hours per week: 0
Hours during trading: 0
manages Karen L Edwards FLP

Joe P Hofer Trust
Type of business: trust account
Aberdeen, SD
Start date: 3/7/2012
trustee
Hours per week: 1
Hours during trading: 0
Manage trust assets. Maintain property & operations.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Self

Type of business: agriculture

various farm properties in SD and ND, Aberdeen, SD

Start date: 1/1/1997

Farm Land owner, operator, mgr

Hours per week: 5

Hours during trading: 2

Develop and improve land, manage various agricultural and rental interests. Family farm land.



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
Regulatory Event	1
Customer Dispute	8

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	SOUTH DAKOTA DIVISION OF SECURITIES
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/13/1991
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	EDWARD D. JONES
Product Type:	
Other Product Type(s):	
Allegations:	EDWARDS ALLOWED UNLICENSED PERSONNEL TO SOLICIT CLIENTS.
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/23/1992
Sanctions Ordered:	Censure Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	EDWARDS WAS CENSURED AND FINED \$2500.

**Regulator Statement**

EDWARDS IS AN AGENT IN THE EDWARD D. JONES OFFICE IN ABERDEEN. HE, ALONG WITH OFFICE MANAGER E. MARVIN TEBBEN ALLOWED CLERICAL PERSONNEL TO SOLICIT AND SERVICE CLIENTS. THE DIVISION FINED EDWARDS \$2500, REQUIRED ADDITIONAL SUPERVISION, INCLUDING MONTHLY SPOT CHECKS FOR 6 MONTHS AND QUARTERLY CHECKS FOR 6 MONTHS THEREAFTER. ANY FURTHER UNLICENSED ACTIVITY WILL RESULT IN IMMEDIATE LOSS OF EDWARDS AGENT'S LICENSE.

.....

Reporting Source:

Individual

Regulatory Action Initiated By:

REGULATOR- STATE OF SOUTH DAKOTA

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

11/13/1991

Docket/Case Number:

Unknown

Employing firm when activity occurred which led to the regulatory action:

EDWARD D. JONES

Product Type:**Other Product Type(s):****Allegations:**

MR. EDWARDS ADMITTED THAT HIS BRANCH OFFICE ADMINISTRATOR, AN UNLICENSED INDIVIDUAL, HAD ON OCCASSION, WITH HIS CONSENT, SOLICITED CUSTOMERS TO ENGAGE IN SECURITIES TRANSACTIONS AND, ON OCCASSION, ENTER ORDERS FOR HIS CLIENTS ACCOUNTS WITHOUT MR. EDWARD'S TALKING TO THE CLIENTS.

Current Status:

Final

Resolution:

Decision

Resolution Date:

01/23/1992

Sanctions Ordered:

Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:**Sanction Details:**

1) EDWARDS WILL PAY THE DIVISION OF SECURITIES A \$2,500 FINE FOR THE VIOLATION OF THE SD SECURITIES LAWS. 2) EDWARDS WILL SUBMIT TO ADDITIONAL SUPERVISION TO INCLUDE MONTHLY SPOT CHECKS BY THE COMPLIANCE PERSONNEL AT EDWARD D. JONES FOR 6 MONTHS BEGINNING 1/1/92 & QUARTERLY CHECKS FOR 6 MONTHS THEREAFTER. THE TERMS & CONDITIONS OF THE ADDITIONAL SUPERVISION WILL BE CONFIRMED WITH EDWARD D JONES. 3) ANY UNCLICENSED ACTIVITY THAT IS PERFORMED BY EDWARDS OR ANY PERSONNEL UNDER EDWARD'S SUPERVISION WILL RESULT IN THE IMMEDIATE LOSS OF EDWARD'S AGENT'S LICENSE.



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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENTS SENT A COMPLAINT TO THE STATE OF SOUTH DAKOTA DEPARTMENT OF COMMERCE AND REGULATION. THEY ALLEGE THEY INSTRUCTED THE IR TO PURCHASE A \$60,000 TWO YEAR CD PAYING 6% IN BOTH OF THEIR ACCOUNTS. THE IR PURCHASED A PROVIDENT BANK FIFTEEN YEAR DEPOSIT NOTE. THEY REQUEST THE MONEY BACK PLUS INTEREST.
Product Type:	CD(s)
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	07/19/1999
Complaint Pending?	No
Status:	Settled
Status Date:	08/06/1999
Settlement Amount:	\$18,600.00
Individual Contribution Amount:	\$9,300.00
Broker Statement	THE FIRM'S RESPONSE WAS SENT DIRECTLY TO THE STATE OF SOUTH DAKOTA AS REQUESTED BY THE STATE. THEY WERE ADVISED THAT OUR FIRM BELIEVES MR. EDWARDS HAD SOLD THE DEPOSIT NOTES CORRECTLY AND HAD EXPLAINED THE MATURITIES DATES AND RISKS INVOLVED WITH THE INVESTMENTS TO THE CUSTOMERS. THE CUSTOMERS HAD BEEN MAILED A DISCLOSURE DOCUMENT WITH THE CONFIRMATIONS BY OUR FIRM WHICH ALSO EXPLAINED THE MATURITY DATES AND RISKS. HOWEVER SINCE IT DID APPEAR THAT THERE WAS A MISUNDERSTANDING ON THE PART OF THE CUSTOMERS REGARDING THE MATURITY DATES, THE TRADES WERE CANCELLED AT THE STATES REQUEST AT A LOSS OF \$18,600.00

Disclosure 2 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREP., UNSUITABILITY, NEG. MISREP. AND BRCH. OF FIDUCIARY



DUTY IN THE SALE OF \$5,000 OF ANGELES INCOME PROP., LTD. II.
(AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST,
COSTS AND ATTORNEYS FEES.)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details: CIRCUIT; MCPHERSON COUNTY, SD

Date Notice/Process Served: 02/26/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/05/1997

**Monetary Compensation
Amount:** \$20,000.00

**Individual Contribution
Amount:**

Broker Statement SETTLED FOR \$20,000
I ABSOLUTELY AND UNEQUIVOCALLY DENY ALL
ALLEGATIONS OF WRONGDOING. I BELIEVE THIS IS A MATTER OF AN
APPROPRIATE AND SUITABLE INVESTMENT THAT DID NOT PERFORM AS
WELL AS EXPECTED (EVEN THOUGH THE INVESTMENT IS CURRENTLY IN
EXISTENCE AND HAS NOT COMPLETED OPERATION.)

Disclosure 3 of 8

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** EDWARD D. JONES & CO., L.P.

Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT
MISREPRESENTATION, UNSUITABILITY, NEGLIGENT MISREP. AND BREACH
OF FIDUCIARY DUTY IN THE SALE OF \$10,000 IN ANGLES INCOME
PROPERTIES III, \$29,500 IN PUTNAM HIGH YIELD I AND \$2,929 IN
ILLINOIS POWER COMMON STOCK BY THE CUSTOMER, AND \$40,000 IN
ANGELES INCOME PROPERTIES II AND \$20,000 IN NOONEY INCOME FUND
LTD. BY CUSTOMER. (AMOUNT CLAIMED:UNSPECIFIED PLUS
PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS FEES.)

Product Type:

Alleged Damages:



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution
Amount:

Civil Litigation Information

Court Details: CIRCUIT; WALWORTH COUNTY, SD; 92-109

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date:

Monetary Compensation
Amount: \$150,000.00

Individual Contribution
Amount:

Broker Statement
CUSTOMER - SETTLED FOR \$100,000 (9/96). CUSTOMER
SETTLED FOR \$50,000 (10/16/96).
I ABSOLUTELY AND UNEQUIVOCALLY DENY ALL
ALLEGATIONS. EACH INVESTMENT WAS APPROPRIATE AND SUITABLE
GIVEN
THE CONDITIONS AT THAT TIME, AND PERFORMED WITHIN RANGE OF
EXPECTATIONS CONSIDERING ECONOMIC AND LAW CHANGES OVER THE
INTERVENING TIME FRAME.

Disclosure 4 of 8

Reporting Source: Individual

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

Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT
MISREPRESENTATION, UNSUITABILITY, NEGLIGENT, MISREP. AND BREACH
OF FIDUCIARY DUTY IN THE SALE OF \$5,000 OF MCNEIL REAL ESTATE
FUND XII.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount
Explanation (if amount not
exact): AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES,
INTEREST, COSTS AND ATTORNEYS FEES.

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No



Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 12/29/1992

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: CIRCUIT COURT

Location of Court: SPINK COUNTY, SD

Docket/Case #: 92=124

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/15/1996

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$35,000
CUSTOMER PURCHASED A \$5,000 MCNEIL REAL ESTATE FUND XII FROM US IN 1981. HE WAS QUALIFIED BUYER, HAD FULL INFORMATION AND KNEW THE RISKS OF REAL ESTATE. I SOLD IT TO GOOD FAITH, HE PURCHASED IT IN GOOD FAITH, BUT IT DID NOT PERFORM WELL. I DENY ALL ALLEGATIONS OF FRAUD DECEIT UNSUITABILITY MISREPRESENTATION, ETC.

Disclosure 5 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREP., UNSUIT., NEG. MISREP, AND BRCH. OF FIDUCIARY DUTY IN THE SALE OF \$12,000 OF NRM, \$12,000 OF ANGELES INCOME, \$21,000 OF PUT. HIGH YLD. TRUST I BY CUSTOMER; \$10,000 OF ANG. INCOME PROP. II AND \$10,000 OF UNIV. HIGH EQUITY REAL ESTATE FD. III. (AMT. CLAIMED: UNSPECIFIED PLUS PUNITIVE DMGS., INTEREST AND ATTORNEYS' FEES.)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation



Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details: CIRCUIT; MCPHERSON COUNTY, SD

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/05/1997

**Monetary Compensation
Amount:** \$195,000.00

**Individual Contribution
Amount:**

Broker Statement SETTLED FOR \$60,000 TO ANOTHER PARTY, \$80,000 TO CUSTOMER AND \$55,000 TO ANOTHER PARTY. I ABSOLUTELY AND UNEQUIVOCALLY DENY ANY WRONGDOING. THESE WERE SUITABLE AND APPROPRIATE INVESTMENTS AT THE TIME. THESE INVESTORS HAD MANY OTHER VERY SUCCESSFUL INVESTMENTS.

Disclosure 6 of 8

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:**

Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGLIGENT MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$20,000 OF UNITED BANKERS DEBENTURES. (AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS' FEES)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information



Court Details:	CIRCUIT; BROWN COUNTY, SD; 92-1019
Date Notice/Process Served:	12/29/1992
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/02/1996
Monetary Compensation Amount:	\$85,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR \$85,000 BOTH THE FIRM AND I MAINTAIN THAT THERE WAS NO WRONGDOING WHATSOEVER IN THIS CASE

Disclosure 7 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGLIGENT MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$7,000 IN ANGELES INCOME PROP., \$6,000 IN ANGELES INCOME PROP., LTD. IV, \$4,000 IN UNITED BANKERS, \$10,000 IN COMMUNITY PSYCHIATRIC, \$5,000 IN UNIVERSITY HIGH \$24,000 IN PUTNAM HIGH TRUST I.
Product Type:	Mutual Fund Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS' FEES.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	12/29/1992
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	CIRCUIT COURT
Location of Court:	EDMUNDS COUNTY, SD
Docket/Case #:	92-42



Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/17/1996

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$50,000.
I ABSOLUTELY DENY ALL ALLEGATIONS. EACH INVESTMENT WAS APPROPRIATE AND SUITABLE AT THE TIME OF PURCHASE
BASED ON THE AVAILABLE INFORMATION.

Disclosure 8 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES TRADE OF MCDONALD'S STOCK WAS UNAUTHORIZED. NO DAMAGES SPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/10/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement UPON THE CANCELLATION OF THIS TRADE, THE SHARES WILL BE RESTORED TO THE CUSTOMERS ACCOUNT AND AVAILABLE FOR TRANSFER.
THE CUSTOMER AGREED TO SELL SOME OF HER SHARES OF MACDONALD'S, BUT LATER CHANGED HER MIND. I AGREED TO CANCELLING THE TRADE, EVEN THOUGH UNDER NO LEGAL OBLIGATION TO DO SO, AND DO NOT ADMIT TO ANY WRONGDOING FOR UNAUTHORIZED TRANSACTION.



End of Report

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