



IAPD Report

Richard E Blanco

CRD# 728248

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

Richard E Blanco (CRD# 728248)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	05/13/2011
IA	EDWARD JONES	CRD# 250	05/16/2011

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **13** 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	BANCWEST INVESTMENT SERVICES, INC. (BWIS) AND BWIS D/B/A FHS	29357	LAYTON, UT	01/30/2009 - 03/08/2011
B	BANCWEST INVESTMENT SERVICES, INC.	29357	LAYTON, UT	01/05/2009 - 03/08/2011
B	WACHOVIA SECURITIES, LLC	19616	DENVER, CO	01/01/2008 - 01/26/2009

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	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 **13** 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	05/13/2011
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	05/13/2011
B New York Stock Exchange	General Securities Representative	Approved	05/13/2011
B Arizona	Agent	Approved	06/09/2011
B California	Agent	Approved	09/19/2014
B Colorado	Agent	Approved	05/16/2011
IA Colorado	Investment Adviser Representative	Approved	05/16/2011
B District of Columbia	Agent	Approved	05/16/2011
B Florida	Agent	Approved	06/04/2014
B Indiana	Agent	Approved	05/16/2011
B Minnesota	Agent	Approved	08/14/2017
B Missouri	Agent	Approved	09/08/2014



Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	07/22/2014
B	Nevada	Agent	Approved	11/17/2021
B	New Mexico	Agent	Approved	05/16/2011
B	Texas	Agent	Approved	05/31/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	08/20/2014
B	West Virginia	Agent	Approved	02/06/2024

Branch Office Locations

EDWARD JONES
5911 SOUTH MIDDLEFIELD ROAD
SUITE 201
LITTLETON, CO 80123



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/21/1993

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	04/05/1990
General Securities Representative Examination (S7)	Series 7	04/11/1981

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/05/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/1981

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	01/30/2009 - 03/08/2011	BANCWEST INVESTMENT SERVICES, INC. (BWIS) AND BWIS D/B/A FHS	CRD# 29357	LAYTON, UT
B	01/05/2009 - 03/08/2011	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	LAYTON, UT
B	01/01/2008 - 01/26/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	DENVER, CO
IA	01/01/2008 - 01/26/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	DENVER, CO
B	10/31/2006 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	DENVER, CO
IA	10/31/2006 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	DENVER, CO
IA	02/28/2005 - 06/05/2006	MORGAN STANLEY	CRD# 7556	DENVER, CO
B	02/28/2005 - 06/05/2006	MORGAN STANLEY DW INC.	CRD# 7556	DENVER, CO
IA	01/01/1999 - 03/11/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	COLORADO SPRI, CO
B	11/23/1992 - 03/11/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	04/13/1981 - 11/03/1992	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
05/2011 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States



Registration & Employment History



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.

Rental Property DC Condo

Rental

Wash DC, DC

Start date: 1/1/1983

Owner

Hours per week: 0

Hours during trading: 0

No responsibilities.

El Matador Property Rental

Type of business: Beach Rental Property

Fort Walton, FL

Start date: 1/3/2025

Property Owner

Hours per week: 0

Hours during trading: 0

Maintain property



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	1

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:	OREGON DEPARTMENT OF BUSINESS AND CONSUMER SERVICES; DIVISION OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/08/2015
Docket/Case Number:	S-15-0083
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Edward Jones
Product Type:	No Product
Allegations:	Failure to timely amend Oregon salesperson license application to disclose a material change.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/08/2015



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$1,000.00

Payment Plan: \$1,000 due at signing; \$4,000 suspended for 3 years and permanently waived if no further violations

Is Payment Plan Current: Yes

Date Paid by individual: 10/06/2015

Was any portion of penalty waived? Yes

Amount Waived: \$4,000.00

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF OREGON DEPARTMENT OF CONSUMER AND BUSINESS SERVICES DIVISION OF FINANCE AND CORPORATE SERVICES

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 10/08/2015

Docket/Case Number: S-15-0083

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

Product Type: No Product

Allegations: Failed to file timely a required amendment to his Oregon salesperson application after a material change to the information contained in the application, as required by ORS 59.175(6) and OAR 441-175-0105(2)

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/08/2015

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)



Total Amount:	\$5,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	\$1,000.00 paid at signing, prior to the entry of the Order.
Is Payment Plan Current:	Yes
Date Paid by individual:	10/05/2015
Was any portion of penalty waived?	Yes
Amount Waived:	\$4,000.00
Broker Statement	The collection of the remaining \$4,000.00 was suspended so long as Mr. Blanco complies with all terms and conditions of the Order and there are no new violations of the Oregon Securities Law during a three year period from the effective date of the Order at which time the collection of the suspended civil penalty will be waived.



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: PAINWEBBER, INC.

Allegations: ALLEGED BREACH OF FIDUCIARY DUTY AND NEGLIGENT MISREPRESENTATION REGARDING MEGAFOODS SR. NOTES 10.25% DUE 10/15/90 PURCHASED 10/93, 4/94 AND 5/94. CLAIMED DAMAGES ARE \$174,151.00

Product Type:

Alleged Damages: \$174,151.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange; 1995-004742

Date Notice/Process Served: 03/30/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date:

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement

PAINWEBBER DENYING ALL LIABILITY IN THIS MATTER, SETTLED WITH THE CUSTOMER IN THE AMOUNT OF \$60,000.00 DUE SOLELY TO THE COSTS. EXPENSES AND UNCERTAINTY OF ARBITRATION MR. BLANCO WAS NEITHER ASKED NOR REQUIRED TO CONTRIBUTE TO THE SETTLEMENT
Not Provided



End of Report

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