IAPD Report

Abe Warren Dye

CRD# 74380

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

Abe Warren Dye (CRD# 74380)

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 **05/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	05/18/1978
IA	EDWARD JONES	CRD# 250	03/11/2019

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **38** 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
B	WADDELL & REED, INC.	866	LOCATION	08/31/1976 - 07/02/1978
B	IDS LIFE INSURANCE COMPANY	6321	LOCATION	03/02/1973 - 10/15/1976
B	IDS MARKETING CORPORATION	6363	LOCATION	03/02/1973 - 10/15/1976

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	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 **38** 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	05/18/1978
B	FINRA	General Securities Principal	Approved	03/19/1984
B	FINRA	General Securities Sales Supervisor	Approved	02/25/1992
B	NYSE American LLC	General Securities Principal	Approved	09/13/2011
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	06/22/1978
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alaska	Agent	Approved	08/15/2018

Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	04/28/1994
B	Arkansas	Agent	Approved	10/13/2021
B	California	Agent	Approved	03/11/1994
B	Colorado	Agent	Approved	11/17/1999
B	Florida	Agent	Approved	06/04/2013
B	Georgia	Agent	Approved	06/24/2024
B	Hawaii	Agent	Approved	04/30/2019
B	Idaho	Agent	Approved	09/06/2002
B	Illinois	Agent	Approved	05/25/1978
B	Indiana	Agent	Approved	10/25/2006
B	Iowa	Agent	Approved	06/03/2014
B	Kansas	Agent	Approved	10/04/1981
B	Maine	Agent	Approved	09/03/2014
B	Maryland	Agent	Approved	02/15/2024
B	Michigan	Agent	Approved	04/15/2002
B	Minnesota	Agent	Approved	01/02/1997
B	Missouri	Agent	Approved	06/16/2022
B	Montana	Agent	Approved	04/26/2011
B	Nebraska	Agent	Approved	08/03/2020

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	03/16/1994
B	New Jersey	Agent	Approved	09/20/2018
B	New Mexico	Agent	Approved	04/04/1994
B	North Carolina	Agent	Approved	07/23/2020
B	North Dakota	Agent	Approved	09/18/2008
B	Ohio	Agent	Approved	01/06/2021
B	Oklahoma	Agent	Approved	05/07/2025
B	Oregon	Agent	Approved	05/23/2005
B	Pennsylvania	Agent	Approved	03/25/2009
B	South Carolina	Agent	Approved	09/26/2024
B	South Dakota	Agent	Approved	03/22/2011
B	Tennessee	Agent	Approved	07/19/2016
B	Texas	Agent	Approved	03/24/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	03/11/2019
B	Utah	Agent	Approved	05/04/2004
B	Virginia	Agent	Approved	03/19/2012
B	Washington	Agent	Approved	03/26/1996
B	Wisconsin	Agent	Approved	04/29/1998

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	05/09/2003

Branch Office Locations

EDWARD JONES
6021 S KINGS RANCH RD #4
GOLD CANYON, AZ 85118-4774

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 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/23/1992
B	General Securities Principal Examination (S24)	Series 24	03/16/1984

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	NYSE Allied Member Examination (S41)	Series 41	03/17/1984
B	Registered Representative Examination (S1)	Series 1	02/26/1973

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/1991

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:

	Registration Dates	Firm Name	ID#	Branch Location
B	08/31/1976 - 07/02/1978	WADDELL & REED, INC.	CRD# 866	
B	03/02/1973 - 10/15/1976	IDS LIFE INSURANCE COMPANY	CRD# 6321	
B	03/02/1973 - 10/15/1976	IDS MARKETING CORPORATION	CRD# 6363	
B	03/02/1973 - 10/15/1976	INVESTORS DIVERSIFIED SERVICES, INC.	CRD# 6320	

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
05/1978 - Present	EDWARD D. JONES & CO., L.P.	OTHER - GENERAL PRINCIPAL	Y	APACHE, AZ, 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
Regulatory Event	1
Customer Dispute	2

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:	Individual
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/01/1986
Docket/Case Number:	85-89
Employing firm when activity occurred which led to the regulatory action:	EDWARD D. JONES & CO., L.P.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/01/1986
Broker Statement	THE CONSENT ORDER STATES THAT EDWARD D. JONES & CO. (EDJ): (1) SHALL ARRANGE FOR AN EMPLOYEE OF ITS HEADQUARTERS COMPLIANCE STAFF TO VIST THE EDJ BRANCH OFFICES EMPLOYING THE REGISTERED REPRESENTATIVES LISTED ON EXHIBIT B (DYE WAS LISTED) ONCE EVERY SIX MONTHS FOR THE 12 MONTHS FOLLOWING THE EXECUTION OF THIS ORDER. (2) ON OR ABOUT DECEMBER 31, 1986 AND

DECEMBER 31, 1987, EDJ SHALL MANUALLY PREPARE AND FORWARD TO THE ILLINOIS SECURITIES DEPARTMENT A FORM U4 FOR EACH SALESPERSON LISTED ON EXHIBIT B; (3) EDJ SHALL PROVIDE THE ILLINOIS SECURITIES DEPARTMENT WITH A COPY OF A WRITTEN REPORT PREPARED BY INDEPENDENT COUNSEL CONCERNING EDJ'S POLICIES AND PROCEDURES FOR CONDUCTING DUE DILIGENCE INVESTIGATIONS; (4) EDJ SHALL PAY TO THE SECRETARY OF
STATE THE SUM OF $10,000 IN REIMBURSEMENT FOR THE COSTS AND EXPENSES OF THE INVESTIGATION IN THIS MATTER; (5) EDJ SHALL SUBMIT TO THE BINDING ARBITRATION WITH SUCH OF THE 22 DEBENTURE PURCHASERS IDENTIFIED ON EXHIBIT C WHO ELECT TO PARTICIPATE IN SUCH AN ARBITRATION. THE PROCEDURES UNDER WHICH THE ARBITRATION WILL BE CONDUCTED SHALL BE MUTUALLY AGREED TO BY EDJ AND THE ILLINOIS SECURITIES DEPARTMENT; (6) THIS MATTER, TOGETHER WITH THE AMENDED COMPLAINT HEREIN, IS DISMISSED WITH PREJUDICE AS TO EDJ AND RESPONDENTS BAU, DARNALL, DYE, LEININGER, MYRE, QUICK, AND REAMEY, AND NO FURTHER ACTION SHALL BE TAKEN BY THE STATE OF ILLINOIS AGAINST AGAINST EDJ, THE FOREGOING INDIVIDUAL RESPONDENTS, OR ANY OTHER REPRESENTATIVE OF EDJ, WITH RESPECT TO THE OFFER FOR SALE OR SALE BY EDJ OR ITS
REPRESENTATIVES OF THE D.H. BALDWIN COMPANY DEBENTURES WHICH ARE THE SUBJECT OF THIS ACTION.

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:	
Allegations:	BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND DAMAGES OF $34,765.
Product Type:	
Alleged Damages:	$34,765.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/23/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	93-02169
Date Notice/Process Served:	06/01/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/23/1994
Monetary Compensation Amount:	$17,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR $17,000 Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator

Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., L.P.
Allegations:	SUITABILITY; MISREPRESENTATION; OMISSION OF FACTS; CHURNING
Product Type:	
Alleged Damages:	$30,001.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-02169
Date Notice/Process Served:	06/28/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/29/1994
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., L.P.
Allegations:	BREACH OF FIDUCIARY DUTY & MISREPRESENTATION IN THE SALE OF NOONEY REAL PROPERTY INVESTORS V. AMOUNT CLAIMED: $34,765
Product Type:	
Alleged Damages:	$30,001.00

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.:	National Association of Securities Dealers, Inc.; 93-02169
Date Notice/Process Served:	06/28/1993
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	06/29/1994
Monetary Compensation Amount:	$17,000.00
Individual Contribution Amount:	
Broker Statement	Not Provided Not Provided

End of Report

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