User Guidance

www.adviserinfo.sec.gov

IAPD Report

Alan Ayoub

CRD# 7528633

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

Alan Ayoub (CRD# 7528633)

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 **05/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	07/05/2022
IA	EDWARD JONES	CRD# 250	07/29/2022

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **19** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES

No information reported.

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	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 **19** 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	07/05/2022
B	NYSE American LLC	General Securities Representative	Approved	07/05/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	07/05/2022
B	New York Stock Exchange	General Securities Representative	Approved	07/05/2022
B	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	07/28/2022
IA	California	Investment Adviser Representative	Approved	07/29/2022
B	Georgia	Agent	Approved	05/10/2023
B	Indiana	Agent	Approved	12/01/2022
B	Kansas	Agent	Approved	06/12/2025
B	Maryland	Agent	Approved	11/18/2022
B	Massachusetts	Agent	Approved	06/17/2024
B	Michigan	Agent	Approved	11/22/2022

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	01/23/2024
B	New York	Agent	Approved	10/25/2022
B	North Carolina	Agent	Approved	11/21/2022
B	North Dakota	Agent	Approved	11/28/2022
B	Oregon	Agent	Approved	03/27/2023
B	Pennsylvania	Agent	Approved	12/22/2022
B	South Carolina	Agent	Approved	05/16/2025
B	South Dakota	Agent	Approved	11/18/2022
B	Texas	Agent	Approved	10/26/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	10/27/2022
B	Utah	Agent	Approved	10/25/2022
B	Washington	Agent	Approved	02/13/2023

Branch Office Locations

EDWARD JONES
10370 COMMERCE CENTER DR
SUITE B-220
RANCHO CUCAMONGA, CA 91730-5806

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	07/05/2022
B	Securities Industry Essentials Examination (SIE)	SIE	06/06/2022

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/26/2022

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
04/2022 - Present	Edward Jones	Financial Advisor	Y	St Louis, MO, United States
08/2020 - 04/2022	Barrios Insurance Services Inc	Insurance Sales Agent	N	West Covina, CA, United States
11/2019 - 07/2020	Self Employed	Computer Engineer	N	Rancho Cucamonga, CA, United States
08/2019 - 10/2019	Kemper Insurance	Life Insurance Agent	N	Ontario, CA, United States
05/2018 - 07/2019	Self Employed	Computer Engineer	N	Rancho Cucamonga, CA, United States
12/2017 - 04/2018	Kemper Insurance	Life Insurance Agent Trainee	N	Ontario, CA, United States
01/2014 - 11/2017	Self Employed	Computer Engineer	N	Rancho Cucamonga, CA, 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.

Self
Type: Computer services
Date: 01/01/14
Title: Owner
Trad Hrs: 0
Tot Hrs: 0
Desc: I used to fix computers full-time when I was self-employed. From time to time, which is rare, I may have someone reach out seeking computer help and my time would be compensated. In this event, it would be on my own time, never to interfere with my primary job duties and always notifying the firm.
City-State: Rancho Cucamonga CA

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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
Criminal	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:	Individual
Regulatory Action Initiated By:	State of California Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Denial Monetary Penalty other than Fines
Date Initiated:	05/16/2018
Docket/Case Number:	PLBS 12148-A (AR)
Employing firm when activity occurred which led to the regulatory action:	Kemper Insurance
Product Type:	No Product
Allegations:	The California Department of Insurance entered an Order after the registered representative filed an application for a license with the Insurance Commissioner of the State of California. The registered representative answered "no" to the background question that read in part "have you ever been convicted of a misdemeanor" when in fact he was previously convicted of two offenses. On or about January 19, 2004, he was convicted on a plea of guilty of hit and run, in violation of Section 20002(A)(1) of the California Vehicle Code, a misdemeanor. On June 13, 2014, the misdemeanor conviction was dismissed pursuant to California Penal code Section 1203.4. On or about May 15, 2008, he was convicted upon a plea of guilty of selling or furnishing cannabis, in violation of Section 11360(B) of the California Health and Safety Code, a misdemeanor. On May 15, 2010, the misdemeanor conviction was dismissed pursuant to California Penal Code Section 1203.4.

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?	Yes
Resolution Date:	06/21/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines Other: Restricted License - Order removing restrictions entered October 28, 2020
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$252.00
Portion Levied against individual:	$252.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	08/15/2018
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	08/15/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Order removing restrictions entered 10/28/2020. I substantially met and complied with the restrictions and conditions placed upon my insurance license. The Commissioner ordered that the conditions and restrictions on my license be removed and I was issued an unrestricted license in the foregoing capacity.

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Superior Court of California
Location of Court:	Rancho Cucamonga, California
Docket/Case #:	FWV800332-1
Charge Date:	02/01/2008
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Sell / Furnish / Etc Marijuana / Hashish
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	Initial guilty plea. Probation terminated 5/18/10. Conviction set aside. Plea of not guilty entered and case dismissed 1203.4A
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Possess Marijuana for Sale
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	On motion of people, pursuant to plea bargain, count 1 ordered dismissed: reason 1385 PC
Current Status:	Final
Status Date:	05/18/2010
Disposition Date:	05/18/2010
Sentence/Penalty:	Ordered to pay Central Collections $450; Booking Fees $79.86 to the city within 90days; Surcharge of $20; pay $15 per month through Central Collection for Probation Supervision payable 30 days from release from custody, starting 12/17/2009 and ending 05/18/2010; Sheriff is directed to obtain the required samples; Probation Revocation Restitution fine imposed in the sum of $220; Supervised Probation for a period of 36 months; Serve 120 days in a San Bernardino County Jail Facility with credit time served, a matter of 2 days; report to Glen Helen Rehabilitation Center on or before 05/31/2008; ordered to pay a Criminal Lab Analysis Fee $50 plus a penalty of $85 plus a $35 processing fee; Pay a Restitution fine in the amount of $200 plus a 10% administrative fee through Central Collections;
Broker Statement	After completing probation on 5/18/2010 all conviction(s) hereto entered were set aside. A plea of not guilty was ordered entered and the case was dismissed

pursuant to Section 1203.4/1203.4A PC.

End of Report

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