

BrokerCheck Report

JERRY ALLAN EADES

CRD# 1094066

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**JERRY A. EADES**

CRD# 1094066

Currently employed by and registered with the following Firm(s):

IA MORGAN STANLEY
 300 North Greene Street
 Suite 1700
 Greensboro, NC 27401
 CRD# 149777
 Registered with this firm since: 10/26/2012

B MORGAN STANLEY
 300 North Greene Street
 Suite 1700
 Greensboro, NC 27401
 CRD# 149777
 Registered with this firm since: 10/26/2012

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 4 Self-Regulatory Organizations
- 11 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B WELLS FARGO ADVISORS, LLC
 CRD# 19616
 GREENSBORO, NC
 07/2003 - 10/2012

IA WELLS FARGO ADVISORS, LLC
 CRD# 19616
 ST. LOUIS, MO
 07/2003 - 10/2012

IA PRUDENTIAL SECURITIES INCORPORATED
 CRD# 7471
 NEW YORK, NY
 11/2001 - 07/2003

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Criminal	1
Customer Dispute	2
Financial	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 4 SROs and is licensed in 11 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MORGAN STANLEY**

Main Office Address: **2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530**

Firm CRD#: **149777**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/26/2012
B	NYSE American LLC	General Securities Representative	Approved	10/26/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	10/26/2012
B	New York Stock Exchange	General Securities Representative	Approved	10/26/2012

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/15/2019
B	California	Agent	Approved	05/26/2015
B	Florida	Agent	Approved	10/26/2012
B	Georgia	Agent	Approved	10/26/2012
B	Iowa	Agent	Approved	10/26/2012
B	Maryland	Agent	Approved	10/26/2012
B	North Carolina	Agent	Approved	10/26/2012
IA	North Carolina	Investment Adviser Representative	Approved	10/26/2012
B	South Carolina	Agent	Approved	11/01/2012

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	06/05/2018
B	Texas	Agent	Approved	10/26/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	04/15/2020
B	Virginia	Agent	Approved	10/26/2012

Branch Office Locations

MORGAN STANLEY
300 North Greene Street
Suite 1700
Greensboro, NC 27401



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	04/03/1990

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/17/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/19/2000
B Uniform Securities Agent State Law Examination	Series 63	08/22/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2003 - 10/2012	WELLS FARGO ADVISORS, LLC	19616	GREENSBORO, NC
IA 07/2003 - 10/2012	WELLS FARGO ADVISORS, LLC	19616	GREENSBORO, NC
B 11/2001 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
IA 11/2001 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	GREENSBORO, NC
B 12/1999 - 11/2001	WACHOVIA SECURITIES, INC.	431	CHARLOTTE, NC
B 09/1995 - 12/1999	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B 11/1991 - 09/1995	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
B 11/1988 - 11/1991	WHEAT, FIRST SECURITIES, INC.	6124	
B 08/1985 - 11/1991	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC
B 11/1987 - 12/1988	FINANCIAL CORPORATION OF VIRGINIA	16440	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2012 - Present	MORGAN STANLEY	FINANCIAL ADVISOR	Y	GREENSBORO, NC, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Registration and Employment History



Other Business Activities, continued

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0
Customer Dispute	0	2	N/A
Financial	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	JERRY A. EADES, INC.;
Court Details:	VIRGINIA CIRCUIT COURT OF THE CITY OF PETERSBURG. Not Provided
Charge Date:	12/17/1981
Charge Details:	ALLEGES INTENT TO DEFRAUD, RETAIN OR USE FUNDS OF A VALUE IN EXCESS OF \$200.00 PAID TO HIM BY BOTH DELTA PROPERTIES AND JAMES A. BOYD, OTHER THAN TO PAY PERSONS WHO HAD PERFORMED LABOR OR FURNISHED MATERIALS.
Felony?	
Current Status:	Final
Status Date:	05/26/1982
Disposition Details:	Not Provided
Broker Statement	Not Provided



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC
Allegations:	CLIENTS ALLEGE A GAIN IN EXCESS OF \$187,000 IN THEIR ACCOUNT AND SUBSEQUENT TAX LIABILITY OF \$56,000 RESULTED FROM UNAUTHORIZED TRADING.
Product Type:	Other
Alleged Damages:	\$105,631.00

Customer Complaint Information

Date Complaint Received:	07/15/1999
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/03/2000
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE ARBITRATION 2000-008264
Date Notice/Process Served:	02/03/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/26/2000
Monetary Compensation Amount:	\$39,000.00
Individual Contribution Amount:	

**Firm Statement**

ON SEPTEMBER 28, 2000, EADES WAS DISMISSED FROM [CUSTOMERS] ARBITRATION CASE WITH PREJUDICE. THE ARBITRATION CASE BEGAN ON SEPTEMBER 26, 2000 AND DURING THE FIRST DAY OF HEARINGS, CLAIMANTS APPROACHED EADES AND A.G. EDWARDS WANTING TO SETTLE THE CASE. THE CASE AND SETTLEMENT NEGOTIATIONS CONTINUED UNTIL SEPTEMBER 28, 2000 WHEN THE CASE WAS ULTIMATELY SETTLED WITH MR. EADES BEING DISMISSED FROM THE MATTER AT THAT TIME. AFTER A .G. EDWARDS PAID THE SETTLEMENT CHECK, A.G. EDWARDS WAS DISMISSED FROM THE ARBITRATION AS WELL. THE CASE WAS SETTLED SOLELY TO AVOID THE COST OF FURTHER LITIGATION.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

A. G. EDWARDS & SONS, INC.

Allegations:

ALLEGED AGENT DID NOT MAKE A GOOD FAITH EFFORT TO DETERMINE TAX CONSEQUENCES. CLIENTS ALLEGE A GAIN IN EXCESS OF \$187,000 IN THEIR ACCOUNT AND SUBSEQUENT TAX LIABILITY OF \$56,000 RESULTED FROM UNAUTHORIZED TRADING. ALL TRADES WERE AUTHORIZED BY THE CLIENT

Product Type:

Other

Other Product Type(s):

STOCKS

Alleged Damages:

\$105,631.00

Customer Complaint Information**Date Complaint Received:**

07/15/1999

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

02/03/2000

Settlement Amount:**Individual Contribution Amount:****Arbitration Information**



**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NYSE ARBITRATION 2000-008264

Date Notice/Process Served: 02/03/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/26/2000

**Monetary Compensation
Amount:** \$39,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement ON SEPTEMBER 28, 2000 EADES WAS DISMISSED FROM THE [CUSTOMER] ARBITRATION CASE WITH PREJUDICE. THE ARBITRATION CASE Began ON SEPTEMBER 26, 2000 AND DURING THE FIRST DAY OF HEARINGS, CLAIMANTS APPROACHED EADES AND A.G. EDWARDS WANTING TO SETTLE THE CASE. THE CASE AND SETTLEMENT NEGOTIATIONS CONTINUED UNTIL SEPTEMBER 28, 2000 WHEN THE CASE WAS ULTIMATELY SETTLED WITH MR. EADES BEING DISMISSED FROM THE MATTER AT THAT TIME. AFTER A.G. EDWARDS PAID THE SETTLEMENT CHECK, A.G. EDWARDS WAS DISMISSED FROM THE ARBITRATION AS WELL. THE CASE WAS SETTLED SOLELY TO AVOID THE COST OF FURTHER LITIGATION.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	NORTH CAROLINA CLIENT COMPLAINS VIA HER ATTORNEY THAT HER VARIABLE UNIVERSAL LIFE POLICY, PURCHASED VIA FINANCIAL ADVISOR JIM EADES, WAS MISREPRESENTED AS POSSESSING GUARANTEE FEATURES. CLIENT REQUESTS THE CONTRACT BE RESCINDED AND SURRENDER FEE ESTIMATED AT \$14,501 WAIVED.
Product Type:	Insurance
Alleged Damages:	\$14,501.00

Customer Complaint Information

Date Complaint Received:	09/16/2004
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/08/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement	NO EVIDENCE FOUND TO SUPPORT CLIENTS CLAIM OF MISREPRESENTATION. GUARANTEED FEATURES AND BENEFITS OF THE POLICY MATCH THOSE THAT CLIENT BELIEVES NOT TO EXIST. HOWEVER, TRAVELERS RESOLVED CLAIM. PER [CUSTOMER]'S ATTORNEY ON OCTOBER 8, 2004, TRAVELERS HAS VOLUNTARILY AGREED TO RETURN HER PREMIUM WITHOUT ASSESSING ANY SURRENDER.
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**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	11/07/2016
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	U. S. Bankruptcy Court Middle District of North Carolina
Location of Court:	Greensboro, NC
Docket/Case #:	16-11208
Action Pending?	No
Disposition:	Discharged
Disposition Date:	07/05/2017

End of Report



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