

BrokerCheck Report

Edward Joseph Dollinger

CRD# 1518807

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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.

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:
 - 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
 - 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.



Edward J. Dollinger

CRD# 1518807

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

IA EDWARD JONES
735 ESSINGTON RD
JOLIET, IL 60435
CRD# 250
Registered with this firm since: 01/19/2007

B EDWARD JONES
735 ESSINGTON RD
JOLIET, IL 60435
CRD# 250
Registered with this firm since: 06/25/1986

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
- 24 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):

No information reported.

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
Customer Dispute	2



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 24 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/25/1986
B	FINRA	General Securities Principal	Approved	11/06/2017
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Principal	Approved	11/06/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Principal	Approved	11/06/2017
B	New York Stock Exchange	General Securities Representative	Approved	06/25/1986
B	New York Stock Exchange	General Securities Principal	Approved	11/06/2017

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/20/1986
B	California	Agent	Approved	04/29/1991
B	Colorado	Agent	Approved	01/09/1992
B	Florida	Agent	Approved	09/06/1988
B	Illinois	Agent	Approved	07/14/1986

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/19/2007
B	Indiana	Agent	Approved	02/03/1993
B	Iowa	Agent	Approved	01/25/1990
B	Michigan	Agent	Approved	10/20/1992
B	Minnesota	Agent	Approved	01/13/2003
B	Missouri	Agent	Approved	12/20/1991
B	Nebraska	Agent	Approved	05/31/2022
B	Nevada	Agent	Approved	05/07/2024
B	New Jersey	Agent	Approved	06/20/1996
B	New Mexico	Agent	Approved	02/10/2005
B	New York	Agent	Approved	02/11/1998
B	North Carolina	Agent	Approved	01/05/2004
B	Ohio	Agent	Approved	03/28/1995
B	Oklahoma	Agent	Approved	09/18/2023
B	Pennsylvania	Agent	Approved	01/28/2022
B	South Carolina	Agent	Approved	04/30/2003
B	Tennessee	Agent	Approved	02/14/2007
B	Texas	Agent	Approved	06/12/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2014
B	Virginia	Agent	Approved	11/23/2001
B	Wisconsin	Agent	Approved	04/05/2004

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

EDWARD JONES
735 ESSINGTON RD
JOLIET, IL 60435



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 Principal Examination	Series 24	11/04/2017

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/21/1986

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/11/2007
B Uniform Securities Agent State Law Examination	Series 63	07/23/1986

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
No information reported.			

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
02/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	JOLIET, IL, 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.

FIVE STAR LLC
REAL ESTATE DEV
MEMBER

JOLIET ROTARY/MEMBER / SERVICE CLUB
JOLIET FINANCE COUNCIL/BOARD MEMBER/ADVISORY
WILL COUNTY COMMUNITY FOUNDATION/BOARD MEMBER/PHILANTHROPY.

RENTAL PROPERTY
EASTLAND, TX 76448
SINCE 8/1/1992
OWNER

Joliet Catholic Academy
Joliet, IL
Start date: 1/1/2007
Committee member



Registration and Employment History

Other Business Activities, continued

Hours per week: 0
Hours during trading: 0
Advisory.

Three-D LLC
Type of business: Office rental property
Joliet, IL
Start date: 1/1/2000
Manager
Hours per week: 1
Hours during trading: 0
Maintenance and office space leased.

Dollinger Farms LLC
Type of business: Farmland
Channahon, IL
Start date: 1/1/1990
GNP
Hours per week: 0
Hours during trading: 0

Dollinger LP II
Type of business: Farmland
Channahon, IL
Start date: 1/1/2000
LPT
Hours per week: 0
Hours during trading: 0

Quinterra LLC
Type of business: Real estate development
Channahon, IL
Start date: 1/1/2000
GNP
Hours per week: 0
Hours during trading: 0

Tabler Ridge LLC
Type of business: Farmland
Channahon, IL
Start date: 1/1/2000
GNP

Registration and Employment History



Other Business Activities, continued

Hours per week: 0

Hours during trading: 0

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Customer Dispute	0	2	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.

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 2

Reporting Source: Broker

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

Allegations: THE CLIENT CLAIMS THAT THE FAS INVESTMENT DECISIONS WERE UNSUITABLE. THE CLIENT CLAIMS THE STRATEGY WAS HIGH RISK DUE TO A FAILURE TO DIVERSIFY. THE CLIENT STATES IN 2003 LESS THAN HALF OF HER PORTFOLIO WAS IN BP STOCK AND BETWEEN MAY 2009 AND JUNE 2010 THE ENTIRE PORTFOLIO WAS IN BP. THE CLIENT CLAIMS ALL OF THE STOCK WAS SOLD AT ITS LOW RESULTING IN A LOSS OF \$17,303. THE CLIENT IS REQUESTING THE AMOUNT OF LOSS FROM APRIL AND JUNE OF 2010. FILING REQUIRED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$17,303.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/05/2011



Complaint Pending? No

Status: Denied

Status Date: 10/19/2011

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement

ACCORDING TO OUR RECORDS THE BRITISH PETROLEUM (BP) SHARES WERE NOT PURCHASED THROUGH EDWARD JONES. WHEN THE SHARES WERE TRANSFERRED IN TO OUR FIRM THEY ACCOUNTED FOR APPROXIMATELY 50% OF THE PORTFOLIO. OUR RESEARCH HAS REVEALED THAT DISCUSSIONS TOOK PLACE IN WHICH THE FINANCIAL ADVISOR RECOMMENDED A REBALANCING OF SOME OF THE BP SHARES TO CREATE A MORE DIVERSIFIED PORTFOLIO. OUR REVIEW REFLECTS THE CLIENT DID AGREE TO LIQUIDATE A PORTION OF THE SHARES IN FEBRUARY 2002, REDUCING THE HOLDINGS TO APPROXIMATELY 25% OF THE PORTFOLIO. THE PROCEEDS WERE REINVESTED INTO INCOME FUNDS AS A NEED FOR ADDITIONAL INCOME WAS EXPRESSED. OUR REVIEW HAS INDICATED THAT THE CLIENT CONTINUED TO BE HESITANT WITH LIQUIDATING ADDITIONAL SHARES OF BP, HOWEVER, WHEN THE DIVIDEND PAYMENTS STOPPED IN JUNE 2010, THE CLIENT CHOSE TO LIQUIDATE THE REMAINING PORTION OF THE HOLDINGS. THE PROCEEDS WERE REINVESTED INCOME FUND OF AMERICA. CLAIM WAS DENIED.

Disclosure 2 of 2

Reporting Source: Broker

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

Allegations: CLIENT QUESTIONS HOW THE FIRM'S NAME IS ASSOCIATED WITH INVESTMENT REPRESENTATIVES. CLIENT STATES IR INVESTED IN VARIOUS INVESTMENTS ON HIS BEHALF INCLUDING LUCENT TECHNOLOGIES. CLIENT STATES, WHEN THE VALUE OF LU BEGAN TO FALL, THE IR SUGGESTED SELLING LU AND UTILIZING THE PROCEEDS TO PURCHASE WORLDCOM. CLIENT INDICATES THE FIRM HAS "NO IDEA OF THE PAIN" ASSOCIATED WITH SEEING "YOUR FUNDS GO DOWN THE DRAIN". TRANSACTIONS WERE EFFECTED IN THE ACCOUNT IN 2000 AND THE ACCOUNT TRANSFERRED TO ANOTHER FIRM IN JANUARY 2002. LOSSES AT THE TIME OF THE TRANSFER EXCEEDED \$5,000.00.

Product Type: Other



Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/28/2005

Complaint Pending? No

Status: Denied

Status Date: 04/11/2005

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

ACCORDING TO OUR RECORDS, THE INVESTMENTS TO WHICH THE CLIENT HAS REFERRED IN HIS CORRESPONDENCE WERE PURCHASED IN THE ACCOUNT IN 2000. THE IR HAS INDICATED, AT THE TIME OF THE PURCHASES, HE WOULD HAVE DISCUSSED THE CLIENT'S GOALS, OBJECTIVES AND CURRENT HOLDINGS AS WELL AS THE RISKS ASSOCIATED WITH VARIOUS TYPES OF INVESTMENTS. ACCORDING TO OUR RECORDS, THE ACCOUNT WAS TRANSFERRED TO ANOTHER FIRM IN JANUARY 2002.

AT THE TIME OF THE TRANSACTIONS (BUYS AND/OR SELLS), THE CLIENT RECEIVED TRADE CONFIRMATIONS. IN ADDITION, THE CLIENT RECEIVED STATEMENTS THAT PROVIDED INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, IT IS OUR OPINION ALL TRANSACTIONS EFFECTED IN THE ACCOUNT WERE AUTHORIZED AND THE IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH INVESTING. IN REGARD TO THE CLIENT'S CONCERN RELATED TO HOW INVESTMENT REPRESENTATIVES (IR) BECOME ASSOCIATED WITH THE FIRM, CANDIDATES FOR THE POSITION ARE SUBJECT TO A RIGOROUS INTERVIEWING, HIRING AND TRAINING PROCESS. THE CLIENT'S IR HAS BEEN EMPLOYED WITH EDWARD JONES FOR A NUMBER OF YEARS AND HAS AN EXEMPLARY RECORD.

End of Report



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