

BrokerCheck Report

Thomas Anthony D'Arcangelo

CRD# 1619169

<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:
 - 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.



Thomas A. D'Arcangelo

CRD# 1619169

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

IA EDWARD JONES
94 SOUTH MAIN ST
MIDDLETON, MA 01949
CRD# 250
Registered with this firm since: 06/03/2014

B EDWARD JONES
94 SOUTH MAIN ST
MIDDLETON, MA 01949
CRD# 250
Registered with this firm since: 05/30/2014

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
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA MORGAN STANLEY**
CRD# 149777
PURCHASE, NY
06/2009 - 06/2014
- B MORGAN STANLEY**
CRD# 149777
BOSTON, MA
06/2009 - 06/2014
- IA MORGAN STANLEY & CO. INCORPORATED**
CRD# 8209
NEW YORK, NY
04/2007 - 06/2009

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 23 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	05/30/2014
B	NYSE American LLC	General Securities Representative	Approved	05/30/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	05/30/2014
B	New York Stock Exchange	General Securities Representative	Approved	05/30/2014

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/16/2014
B	Arizona	Agent	Approved	05/30/2014
B	California	Agent	Approved	06/16/2014
B	Connecticut	Agent	Approved	11/13/2018
B	Florida	Agent	Approved	09/24/2014
B	Georgia	Agent	Approved	06/27/2018
B	Idaho	Agent	Approved	08/05/2024
B	Illinois	Agent	Approved	07/07/2014
B	Louisiana	Agent	Approved	01/05/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	09/08/2020
B	Massachusetts	Agent	Approved	05/30/2014
IA	Massachusetts	Investment Adviser Representative	Approved	06/03/2014
B	Missouri	Agent	Approved	02/18/2021
B	Nevada	Agent	Approved	06/18/2018
B	New Hampshire	Agent	Approved	05/30/2014
B	New Jersey	Agent	Approved	06/16/2014
B	New York	Agent	Approved	06/16/2014
B	Pennsylvania	Agent	Approved	07/08/2014
B	Tennessee	Agent	Approved	06/16/2014
B	Texas	Agent	Approved	02/19/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	02/22/2019
B	Vermont	Agent	Approved	07/16/2015
B	Virginia	Agent	Approved	01/13/2015
B	Wisconsin	Agent	Approved	06/16/2014
B	Wyoming	Agent	Approved	11/18/2015

Branch Office Locations

EDWARD JONES
 94 SOUTH MAIN ST
 MIDDLETON, MA 01949



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/14/1999
B Uniform Securities Agent State Law Examination	Series 63	04/05/1988

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 06/2009 - 06/2014	MORGAN STANLEY	149777	BOSTON, MA
IA 06/2009 - 06/2014	MORGAN STANLEY	149777	BOSTON, MA
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	BOSTON, MA
IA 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	BOSTON, MA
IA 12/2002 - 04/2007	MORGAN STANLEY	7556	BOSTON, MA
B 05/2000 - 04/2007	MORGAN STANLEY DW INC.	7556	BOSTON, MA
B 02/1992 - 05/2000	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 02/1990 - 04/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 09/1988 - 02/1990	SHEARSON LEHMAN HUTTON INC.	7506	
B 03/1988 - 02/1990	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY
B 08/1987 - 09/1987	E. F. HUTTON & COMPANY INC	235	
B 03/1987 - 08/1987	INTEGRATED RESOURCES EQUITY CORPORATION	6403	

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
05/2014 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States

Registration and Employment History



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.

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.
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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.
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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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	BEAR, STEARNS & CO. INC.
Allegations:	MISREPRESENTATION; SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:	
Alleged Damages:	\$64,358.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #94-04746
Date Notice/Process Served:	11/17/1994
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	02/09/1996
Disposition Detail:	PENDING Not Provide

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:

BEAR, STEARNS & CO. INC.

Allegations:

WE HAVE BEEN SERVED WITH AN NASD ARBITRATION CLAIM BROUGHT BY THESE CLIENTS SEEKING ACTUAL DAMAGES OF \$64,358 PLUS \$10,000 PUNITIVE DAMAGES BASED UPON ALLEGATIONS THAT DURING THE PERIOD JULY 1993 THROUGH JULY 1994 THE RR CONCENTRATED THE ACCOUNT IN THE STOCK OF BROADWAY TECHNOLOGIES, INC., ON MARGIN.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$64,358.00

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

NASD

Docket/Case #:

94-04746

Filing date of arbitration/CFTC reparation or civil litigation:

11/17/1994

Customer Complaint Information

Date Complaint Received:

11/17/1994

Complaint Pending?

No

Status:

Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date:

02/09/1996

Settlement Amount:

\$82,500.00

Individual Contribution Amount:

\$0.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	94-04746
Date Notice/Process Served:	11/17/1994
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/09/1996
Monetary Compensation Amount:	\$82,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	<p>AN NASD ARBITRATION PANEL RENDERED AN AWARD JOINTLY AND SEVERALLY AGAINST THE FIRM AND THE REGISTERED REPRESENTATIVE IN THE SUM OF \$61,000 IN COMPENSATORY DAMAGES \$17,500 IN ATTORNEY'S FEES AND \$4,000 IN EXPERT WITNESS FEES. THE COMPLAINT LETTER ADMITS THAT THE CLIENTS UNDERSTOOD AND ACCEPTED THE RISKS OF THE INVESTMENT. RESPONDENTS MAINTAINED THAT THE SECURITY WAS HIGHLY RECOMMENDED, THAT THE CLIENTS WERE FULLY INFORMED REGARDING THE SECURITY AND ADMITTED IN WRITING THAT THEY UNDERSTOOD THE INFORMATION THEY RECEIVED. MOREOVER, THE SECURITY WAS SOLD PREMATURELY BY THE CLIENTS DESPITE THE RESPONDENTS' RECOMMENDATION. HAD THE CLIENTS HELD THE SECURITY AS RECOMMENDED, THE LOSSES WOULD HAVE BEEN MINIMAL. THIS MATTER DID NOT INVOLVE OPTIONS.</p>



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:	Broker
Employing firm when activities occurred which led to the complaint:	Edward Jones
Allegations:	Claimant alleges various claims against the registered representative and Firm ("Respondents") asserting that in an UTMA account he did not authorize the equity trades placed on July 6, 2017 and October 18, 2017. Claimant further alleges he did not authorize the \$9,000.00 check distribution on July 11, 2017, the \$9,000.00 transfer on July 24, 2017, the \$9,000.00 transfer on August 8, 2017, the \$116,930.05 transfer on October 19, 2017, and the \$2.20 transfer on October 20, 2017 to a third party. Claimant further alleges that on or about October 18-20, 2017, Respondents liquidated an irrevocable trust in which the Claimant asserts he was beneficiary.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$261,729.01
Alleged Damages Amount Explanation (if amount not exact):	Claimant demands restoration of the accounts. Damages are based on the share prices of the stocks held by the Claimant as of market close on May 13, 2020; cash in the UTMA account; and estimated dividends and interest.
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:	11/21/2019
Complaint Pending?	No
Status:	Denied
Status Date:	01/30/2020
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

[20-01536](#)

Date Notice/Process Served:

05/20/2020

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

07/15/2022

Monetary Compensation Amount:

\$95,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

After completion of the Firm's investigation into client's allegations, claim was denied. Subsequent to filing of the Statement of Claim the Firm made the decision to resolve the Claim to avoid the cost and uncertainty of litigation. The Firm concluded the registered representative acted appropriately and was not asked to contribute to the settlement.

End of Report



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