BrokerCheck Report

JERRY SCOTT BROWN

CRD# 1676362

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.
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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 S. BROWN

CRD# 1676362

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

IA **NEWEDGE ADVISORS**
4481 Legendary Drive
Destin, FL 32541
CRD# 171351
Registered with this firm since: 03/27/2025

B **NEWEDGE SECURITIES, LLC**
4481 Legendary Drive
Destin, FL 32541
CRD# 10674
Registered with this firm since: 03/27/2025

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:

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

This broker has passed:

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

Registration History

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

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
Frisco, CO
01/2014 - 03/2025

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
01/2014 - 03/2025

IA **MORGAN STANLEY**
CRD# 149777
PURCHASE, NY
06/2009 - 01/2014

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	4

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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 2 SROs and is licensed in 11 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **NEWEDGE ADVISORS**

Main Office Address: **858 CAMP STREET**
NEW ORLEANS, LA 70130

Firm CRD#: **171351**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/11/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/27/2025

Branch Office Locations

858 CAMP STREET
NEW ORLEANS, LA 70130

4481 Legendary Drive
Destin, FL 32541

Employment 2 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**

Main Office Address: **1251 WATERFRONT PLACE**
SUITE 510
PITTSBURGH, PA 15222-6368

Firm CRD#: **10674**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/27/2025

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Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Sales Supervisor	Approved	03/27/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	03/27/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/27/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/31/2025
B	California	Agent	Approved	03/27/2025
B	Colorado	Agent	Approved	03/27/2025
B	Florida	Agent	Approved	03/28/2025
B	Georgia	Agent	Approved	03/28/2025
B	Kansas	Agent	Approved	03/27/2025
B	Nevada	Agent	Approved	03/27/2025
B	North Carolina	Agent	Approved	03/27/2025
B	Ohio	Agent	Approved	03/27/2025
B	Texas	Agent	Approved	03/27/2025
B	Wisconsin	Agent	Approved	03/27/2025

Branch Office Locations

NEWEDGE SECURITIES, LLC
4481 Legendary Drive
Destin, FL 32541

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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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/29/2004
B	General Securities Sales Supervisor - Options Module Examination	Series 9	11/24/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	06/17/2002
B	General Securities Representative Examination	Series 7	11/21/1987
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	05/23/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	08/26/1994
B	Uniform Securities Agent State Law Examination	Series 63	01/06/1988

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	01/2014 - 03/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	Frisco, CO
IA	01/2014 - 03/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	Frisco, CO
B	06/2009 - 01/2014	MORGAN STANLEY	149777	DESTIN, FL
IA	06/2009 - 01/2014	MORGAN STANLEY	149777	DESTIN, FL
B	04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	DESTIN, FL
IA	04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	DESTIN, FL
IA	01/2006 - 04/2007	MORGAN STANLEY	7556	DESTIN, FL
B	01/2006 - 04/2007	MORGAN STANLEY DW INC.	7556	DESTIN, FL
IA	02/1998 - 02/2006	UBS FINANCIAL SERVICES INC.	8174	DESTIN, FL
B	02/1998 - 02/2006	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B	11/1987 - 02/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	06/1987 - 09/1987	FIRST INVESTORS CORPORATION	305	

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
03/2025 - Present	NewEdge Advisors	Registered Investment Representative	Y	New Orleans, LA, United States
03/2025 - Present	NewEdge Securities, LLC	Registered Representative	Y	Pittsburgh, PA, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2014 - 03/2025	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	DESTIN, FL, United States
01/2014 - 03/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	DESTIN, FL, 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.

I*1251270
For profit or not for profit: Entity For Profit
Name of outside business organization: Blue Sky Yoga LLC
Investment related: N
Address of business: Destin, Florida, 32541
Nature of business: ["Limited Liability Company"]
Position, title, association: ["Other"],
Start date of relationship: 4/15/2023
Number of hours devoted: 1 hour(s) Yearly
Number of hours devoted during trading hours: 0
Duties: Simply as a non-participating LLC member, Entity purpose volunteer substitute teaching for yoga classes

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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	4	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 - 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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CLIENT ALLEGES MISREPRESENTATION IN REGARD TO HER PURCHASE OF AUCTION RATE SECURITIES. ALLEGED COMPENSATORY DAMAGE AMOUNT UNSPECIFIED. UNABLE TO CONCLUDE THAT DAMAGES ARE UNDER $5,000
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	$0.00
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:	07/23/2008
Complaint Pending?	No
Status:	Settled
Status Date:	10/23/2008
Settlement Amount:	$300,000.00

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Individual Contribution Amount: $0.00

Broker Statement THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC.

Allegations: CLIENT ALLEGES THAT FA BROWN VIOLATED NASD RULE "RELATED TO THE SUITABILITY OF THE PURCHASE OF A SECURITY, AND THE AMOUNT INVESTED IN THE SECURITY, IN MY IRA ACCOUNT." FURTHER ALLEGES THAT FA VIOLATED NASD RULES BY "RECOMMENDING PURCHASES BEYOND THE CUSTOMER'S CAPABILITY."

Product Type: Equity - OTC

Alleged Damages: $24,493.19

Customer Complaint Information

Date Complaint Received: 04/14/2002

Complaint Pending? No

Status: Settled

Status Date: 06/11/2002

Settlement Amount: $9,900.00

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Individual Contribution Amount:	$2,000.00

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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: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION CLAIMING SHE WAS TOLD THAT INVESTMENTS "WOULD BE CHANGED TO PREVENT A LOSS" AND "THAT THERE WOULD NOT BE ANY CHARGES TO THE ACCOUNT." ALLEGED DAMAGES BELIEVED TO EXCEED $5,000.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY STOCKS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/12/2005

Complaint Pending? No

Status: Denied

Status Date: 04/07/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION CLAIMING SHE WAS TOLD THAT INVESTMENTS "WOULD BE CHANGED TO PREVENT A LOSS" AND "THAT THERE WOULD NOT BE ANY CHARGES TO THE ACCOUNT." ALLEGED DAMAGES BELIEVED TO EXCEED $5,000.

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Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITY STOCKS
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	08/12/2005
Complaint Pending?	No
Status:	Denied
Status Date:	04/07/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DENY ANY AND ALL ACCUSATIONS PERTAINING TO THIS MATTER.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC
Allegations:	CUSTOMER CLAIMS THAT BROKER MISREPRESENTED THE INVESTMENT IN THE UBS AG BULS THAT WERE PURCHASED BACK IN 2001. DAMAGES ESTIMATED TO EXCEED $5000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	05/09/2003
Complaint Pending?	No
Status:	Withdrawn
Status Date:	06/24/2003
Settlement Amount:	
Individual Contribution Amount:	

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End of Report

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