

BrokerCheck Report
Jeffrey L. Atkinson
 CRD# 1679474

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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.



Jeffrey L. Atkinson

CRD# 1679474

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

IA EDWARD JONES
505 WEST LOVELAND AVE
LOVELAND, OH 45140
CRD# 250
Registered with this firm since: 01/23/2007

B EDWARD JONES
505 WEST LOVELAND AVE
LOVELAND, OH 45140
CRD# 250
Registered with this firm since: 07/09/1997

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
- 33 U.S. states and territories

This broker has passed:

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

Registration History

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

B PRUCO SECURITIES CORPORATION
CRD# 5685
NEWARK, NJ
07/1987 - 07/1997

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 |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 9 |
| Termination | 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 33 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 | 09/04/1997 |
| B | FINRA | Invest. Co and Variable Contracts | Approved | 01/18/2002 |
| B | NYSE American LLC | General Securities Representative | Approved | 09/13/2011 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 07/12/2006 |
| B | New York Stock Exchange | General Securities Representative | Approved | 09/26/1997 |

| | U.S. State/ Territory | Category | Status | Date |
|---|-----------------------|----------|----------|------------|
| B | Alabama | Agent | Approved | 09/13/2016 |
| B | Arizona | Agent | Approved | 12/22/2011 |
| B | California | Agent | Approved | 08/29/2008 |
| B | Colorado | Agent | Approved | 01/07/2014 |
| B | Connecticut | Agent | Approved | 01/10/2020 |
| B | Florida | Agent | Approved | 03/24/2006 |
| B | Georgia | Agent | Approved | 03/09/2010 |
| B | Idaho | Agent | Approved | 12/11/2014 |

Broker Qualifications



Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|----------|------------|
| B | Illinois | Agent | Approved | 10/25/2005 |
| B | Indiana | Agent | Approved | 10/20/1997 |
| B | Iowa | Agent | Approved | 12/26/2013 |
| B | Kentucky | Agent | Approved | 04/07/1998 |
| B | Louisiana | Agent | Approved | 01/19/2007 |
| B | Maine | Agent | Approved | 07/23/2019 |
| B | Maryland | Agent | Approved | 04/12/2011 |
| B | Massachusetts | Agent | Approved | 06/03/2014 |
| B | Michigan | Agent | Approved | 12/21/2011 |
| B | Minnesota | Agent | Approved | 09/16/2009 |
| B | Mississippi | Agent | Approved | 12/18/2008 |
| B | Missouri | Agent | Approved | 09/19/2019 |
| B | Nevada | Agent | Approved | 05/09/2017 |
| B | New Jersey | Agent | Approved | 12/03/2024 |
| B | New York | Agent | Approved | 10/03/2007 |
| B | North Carolina | Agent | Approved | 02/05/2009 |
| B | Ohio | Agent | Approved | 07/31/1997 |
| IA | Ohio | Investment Adviser Representative | Approved | 01/23/2007 |
| B | Oklahoma | Agent | Approved | 01/10/2018 |
| B | South Carolina | Agent | Approved | 04/14/2016 |
| B | Tennessee | Agent | Approved | 12/23/2009 |

Broker Qualifications



Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B | Texas | Agent | Approved | 03/29/2017 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 03/06/2019 |
| B | Virginia | Agent | Approved | 10/13/2005 |
| B | Washington | Agent | Approved | 06/23/2016 |
| B | West Virginia | Agent | Approved | 02/05/2018 |
| B | Wisconsin | Agent | Approved | 12/08/2015 |

Branch Office Locations

EDWARD JONES
505 WEST LOVELAND AVE
LOVELAND, OH 45140



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, 3 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 Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B General Securities Representative Examination | Series 7 | 08/11/1997 |
| B Investment Company Products/Variable Contracts Representative Examination | Series 6 | 05/12/1987 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 08/14/1997 |

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|----------------------------|------------------------------|------|-----------------|
| B 07/1987 - 07/1997 | PRUCO SECURITIES CORPORATION | 5685 | NEWARK, NJ |

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 |
|-------------------|-----------------------------|--------------|--------------------|-----------------------------|
| 05/1997 - Present | EDWARD D. JONES & CO., L.P. | NOT PROVIDED | Y | LOVELAND, OH, 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.

JACMA LLC

Type of business: Real Estate

Loveland, OH

Start date: 11/22/2017

Partner

Hours per week: 0

Hours during trading: 0

Maintain property.

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 |
|------------------|---------|-------|-----------|
| Regulatory Event | 0 | 1 | 0 |
| Customer Dispute | 0 | 9 | N/A |
| Termination | N/A | 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| Sanction(s) Sought: | |
| Date Initiated: | 10/19/2001 |
| Docket/Case Number: | C8B010026 |
| Employing firm when activity occurred which led to the regulatory action: | PRUCO SECURITIES CORPORATION |
| Product Type: | |
| Allegations: | NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |
| Resolution Date: | 10/19/2001 |



| | |
|----------------------------|---|
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension |
| Regulator Statement | FINED \$5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, AND REQUIRED TO DISGORGE \$5,812.03, PLUS INTEREST, IN COMMISSIONS TO PUBLIC CUSTOMERS. THE FINE SHALL BE DUE AND PAYABLE PRIOR TO REASSOCIATION FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT, PLUS INTEREST, SHALL BE A PREREQUISITE FOR REASSOCIATION FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED DISGORGEMENT AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. SUSPENSION EFFECTIVE NOVEMBER 19, 2001 TO CLOSE OF BUSINESS JANUARY 17, 2002. FINES PAID 01/15/2002. |

| | |
|--|---|
| Reporting Source: | Broker |
| Regulatory Action Initiated By: | NASD REGULATION, INC.. CASE NO: C8B010026 |
| Sanction(s) Sought: | Suspension |
| Other Sanction(s) Sought: | FINE AND DISGORGEMENT OF COMMISSIONS PLUS INTEREST |
| Date Initiated: | 08/20/2001 |
| Docket/Case Number: | EXAM NO E8B000388 |
| Employing firm when activity occurred which led to the regulatory action: | PRUCO SECURITIES CORPORATION |
| Product Type: | Other |
| Other Product Type(s): | |
| Allegations: | IN JUNE 1997, MR. ATKINSON SOLD ONE CANKO ENVIRONMENTAL TECHNOLOGIES, I NC. PROMISSORY NOTE, A SECURITIES PRODUCT, TO ONE CUSTOMER AWAY FROM HIS MEMBER FIRM. IN JUNE 1997, MR. ATKINSON SOLD ONE AUTO SHUTTER, INC. PROMISSORY NOTE, A |



SECURITIES PRODUCT, TO ONE CUSTOMER AWAY FROM HIS MEMBER FIRM. BETWEEN FEBRUARY 1997 AND JUNE 1997, MR. ATKINSON SOLD FOUR WORLD VISION ENTERTAINMENT, INC. PROMISSORY NOTES, A SECURITIES PRODUCT, TO FOUR CUSTOMERS AWAY FROM HIS MEMBER FIRM. IN CONNECTION WITH EACH AND ALL OF THESE TRANSACTIONS, MR. ATKINSON FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTION AND HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTION, ALL IN VIOLATION OF NASD CONDUCT RULE 3040 AND 2110.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

10/17/2001

Sanctions Ordered:

Disgorgement/Restitution
 Monetary/Fine \$5,000.00
 Suspension

Other Sanctions Ordered:**Sanction Details:**

MR. ATKINSON HAS A SIXTY (60) DAY SUSPENSION FROM ASSOCIATING WITH ANY MEMBER OF THE NASD IN ANY CAPACITY. SUSPENSION IS EXPECTED TO BEGIN ON 11/15/01. HE IS ALSO REQUIRED TO PAY A FINE OF \$5,000.00 AND DISGORGEMENT OF COMMISSIONS IN THE TOTAL AMOUNT OF \$5,812.03 TO THE FIVE CUSTOMERS INVOLVED WITH THE SIX TRANSACTIONS, WHICH, IF APPROVED BY THE NASDR STAFF AND THE NATIONAL ADJUDICATORY COUNCIL, WILL BE PAID IN INSTALLMENTS.

Broker Statement

ON 10/17/01, THE NASD REGULATION INC. ACCEPTED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT FROM JEFFREY LEE ATKINSON. IN THE AWC, MR. ATKINSON ACCEPTED AND CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TO THE FINDINGS BY NASD REGULATION INC. THAT DURING THE PERIOD BETWEEN FEBRUARY 1997 AND JUNE 1997, MR. ATKINSON SOLD SIX PROMISSORY NOTES TO CUSTOMERS WITHOUT NOTIFYING OR RECEIVING



THE PERMISSION OF PRUCO SECURITIES CORPORATION, A MEMBER FIRM
AND HIS EMPLOYER
DURING THAT PERIOD. THE NASD REGULATION INC. FOUND THAT MR.
ATKINSON'S ACTIONS
VIOLATED NASD CONDUCT RULES 3040 AND 2110. THE SANCTION MR.
ATKINSON CONSENTED
TO IN THE AWC WERE A SIXTY (60) DAY SUSPENSION FROM ASSOCIATING
WITH ANY MEMBER
OF THE NASD IN ANY CAPACITY, A FINE OF \$5,000.00 AND DISGORGEMENT
OF COMMISSIONS
IN THE TOTAL AMOUNT OF \$5,812.03 TO THE FIVE CUSTOMERS INVOLVED
WITH THE SIX
TRANSACTIONS.



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 6

| | |
|--|---|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | PRUCO SECURITIES |
| Allegations: | THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED. |
| Product Type: | No Product |
| Alleged Damages: | \$0.00 |

Customer Complaint Information

| | |
|--|-------------|
| Date Complaint Received: | 06/18/2001 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 07/17/2001 |
| Settlement Amount: | \$31,602.59 |
| Individual Contribution Amount: | \$0.00 |

| | |
|--|--|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | PRUCO SECURITIES |
| Allegations: | CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THE CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION |



DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/18/2001

Complaint Pending? No

Status: Settled

Status Date: 07/17/2001

Settlement Amount: \$31,602.59

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$31,602.59.

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY AMERITECH PETROLEUM, INC. AMERITECH IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.



Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/22/2001

Complaint Pending? No

Status: Settled

Status Date: 10/29/2001

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY AMERITECH PETROLEUM, INC. AMERITECH IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/22/2001

Complaint Pending? No

Status: Settled



| | |
|--|--------------------------|
| Status Date: | 10/29/2001 |
| Settlement Amount: | \$20,000.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | SETTLED FOR \$20,000.00. |

Disclosure 3 of 6

| | |
|--|------------------|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | PRUCO SECURITIES |

| | |
|---------------------|---|
| Allegations: | THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED. |
|---------------------|---|

| | |
|-------------------------|------------|
| Product Type: | No Product |
| Alleged Damages: | \$0.00 |

Customer Complaint Information

| | |
|--|-------------|
| Date Complaint Received: | 06/22/2001 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 07/30/2001 |
| Settlement Amount: | \$15,000.00 |
| Individual Contribution Amount: | \$0.00 |

| | |
|--------------------------|--------|
| Reporting Source: | Broker |
|--------------------------|--------|



Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES

Allegations:

CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MT. ARKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type:

No Product

Alleged Damages:

\$0.00

Customer Complaint Information

Date Complaint Received:

06/22/2001

Complaint Pending?

No

Status:

Settled

Status Date:

07/30/2001

Settlement Amount:

\$15,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

SETTLED FOR \$15,000.00

Disclosure 4 of 6

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES

Allegations:

THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT



JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/31/2001

Complaint Pending? No

Status: Settled

Status Date: 10/29/2001

Settlement Amount: \$24,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product



Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/13/2001

Complaint Pending? No

Status: Settled

Status Date: 10/29/2001

Settlement Amount: \$24,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$24,000.00.

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY LIFE BLOOD BIOMEDICAL, INC. LIFE BLOOD IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/2001

Complaint Pending? No

Status: Settled

Status Date: 07/31/2001

Settlement Amount: \$12,665.00



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY LIFE BLOOD BIOMEDICAL, INC. LIFE BLOOD IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/2001

Complaint Pending? No

Status: Settled

Status Date: 07/31/2001

Settlement Amount: \$12,665.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 6

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY ALUMALEX, INC. ALUMALEX IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER FOR \$13,750.00 PRIOR TO LITIGATION. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENT TO PRUDENTIAL.

Product Type: No Product

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/09/2001

Complaint Pending? No

Status: Settled

Status Date: 02/14/2002

Settlement Amount: \$13,750.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS MATTER WAS A PRELITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY ALUMALEX, INC IN THE AMOUNT OF \$11,910.71. ALUMALEX IS NOT A PRUDENTIAL PRODUCT.

Product Type: No Product

Alleged Damages: \$11,910.71

Customer Complaint Information



| | |
|--|--------------------------|
| Date Complaint Received: | 08/09/2001 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 02/14/2002 |
| Settlement Amount: | \$13,750.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | SETTLED FOR \$13,750.00. |



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 3

| | |
|--|---|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | EDWARD D. JONES & CO., L.P. |
| Allegations: | The client alleges the financial advisor failed to follow his instructions to put "circuit breakers" in his account if the value fell more than 5%, investments would be sold. The client alleges has lost approximately \$140,000.00 year to date. |
| Product Type: | Other: Miscellaneous |
| Alleged Damages: | \$140,000.00 |
| 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: | 05/09/2022 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 06/24/2022 |
| Settlement Amount: | |
| Individual Contribution Amount: | |
| Broker Statement | Based on the firm's review, the client's claim was denied. |

Disclosure 2 of 3

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|--------------------------|--------|
| Reporting Source: | Broker |
|--------------------------|--------|



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|--|---|
| Employing firm when activities occurred which led to the complaint: | EDWARD JONES |
| Allegations: | CLIENT CLAIMS THE PACIFIC LIFE VARIABLE ANNUITY ISSUED ON JUNE 24, 2014 IS NOT SUITABLE. LOSSES EXCEED \$5000.00 FILING REQUIRED. |
| Product Type: | Annuity-Variable |
| Alleged Damages: | \$5,000.00 |
| Alleged Damages Amount Explanation (if amount not exact): | THE ALLEGED AMOUNT IS \$5000.00 OR MORE. |
| 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: | 12/23/2014 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 01/09/2015 |
| Settlement Amount: | \$0.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | AFTER COMPLETION OF THE FIRM'S INVESTIGATION INTO CLIENT'S ALLEGATIONS, CLAIM WAS DENIED. |

Disclosure 3 of 3

| | |
|--|---|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | EDWARD JONES |
| Allegations: | CLIENT INDICATES HE WOULD LIKE TO "GET OUT OF" THE FORTIS ANNUITY PURCHASED THROUGH HIS ACCOUNT. STATES HE WAS LED TO BELIEVE BECAUSE HE WAS OVER |



THE AGE OF 65,
 RESTRICTIONS ASSOCIATED WITH WITHDRAWALS WOULD NOT APPLY TO
 HIM. IN ADDITION, MAKES
 ALLEGATIONS REGARDING THE SUITABILITY OF THE INVESTMENT FOR A
 PERSON WHO IS 80 YEARS
 OLD CONSIDERING THE MAINTENANCE COSTS, COMMISSIONS, ETC.
 LOSSES OF APPROXIMATELY
 \$40,000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 07/26/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/25/2001

Settlement Amount:

**Individual Contribution
 Amount:**

Broker Statement

ATKINSON INDICATED HE MADE THE CLIENT AWARE OF THE FEATURES OF
 THE ANNUITY AND THE
 CLIENT RECEIVED THE ANNUITY CONTRACT. THE CONTRACT DOES
 DISCLOSE ALL FEATURES OF
 THE ANNUITY CONTRACT INCLUDING WITHDRAWALS FROM THE ANNUITY
 AND PROVIDES A
 PROSPECTUS WHICH DISCLOSES INFORMATION ON THE VARIOUS SUB-
 ACCOUNTS WITHIN THE
 ANNUITY. BASED ON THE CLIENTS CONCERNS, HOWEVER, AN OFFER
 WAS CONVEYED TO WAIVE
 ANY CONTINGENT DEFERRED SALES CHARGES (CDSC) WHICH WOULD
 APPLY IF THE CLIENT
 ELECTED TO CANCEL THE ANNUITY CONTRACT. OUR OFFER WAS
 DECLINED BY THE CLIENT AND
 THE CLIENT HAS INDICATED HE IS HOLDING THE ANNUITY INVESTMENT.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

| | |
|-----------------------------|--|
| Reporting Source: | Broker |
| Employer Name: | PRUCO SECURITIES CORPORATION |
| Termination Type: | Permitted to Resign |
| Termination Date: | 07/04/1997 |
| Allegations: | <p>N/A</p> <p>THE COMPANY INITIATED AN INVESTIGATION INTO FORMER REPRESENTATIVE ATKINSON FOLLOWING THE RECEIPT OF AN ANONYMOUS TELEPHONE CALL BEING PLACED TO THE COMPANY'S ETHICS HOTLINE. THE CALLER ALLEGED THAT I WAS LICENSED WITH AND SELLING FOR ANOTHER INSURANCE COMPANY.</p> |
| Product Type: | |
| Other Product Types: | |
| Broker Statement | <p>AS A RESULT OF THE COMPANY'S INVESTIGATION, IT WAS DETERMINED THAT I FAILED TO DISCLOSE ALL OF MY OUTSIDE BUSINESS AFFILIATIONS ON MY U-4 FORM.</p> <p>I WAS NOT AWARE OF THIS INTERNAL REVIEW UNTIL AFTER I HAD LEFT PRUDENTIAL, AND WAS HIRED BY EDWARD JONES.</p> |

End of Report



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