BrokerCheck Report

Jeremy Dickstein

CRD# 1874077

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.

Jeremy Dickstein

CRD# 1874077

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

IA **EDWARD JONES**
New York, NY
CRD# 250
Registered with this firm since: 02/27/2024

B **EDWARD JONES**
1245 JJ KELLEY MEMORIAL DRIVE
ST LOUIS, MO 63131
CRD# 250
Registered with this firm since: 01/28/2024

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
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **WILMINGTON CAPITAL SECURITIES, LLC**
CRD# 133839
GARDEN CITY, NY
09/2021 - 02/2022

B **WILMINGTON CAPITAL SECURITIES, LLC**
CRD# 133839
GARDEN CITY, NY
09/2021 - 02/2022

IA **WILMINGTON CAPITAL SECURITIES, LLC**
CRD# 133839
GARDEN CITY, NY
05/2021 - 09/2021

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
Judgment/Lien	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 52 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	01/28/2024
B	FINRA	General Securities Sales Supervisor	Approved	01/28/2024
B	NYSE American LLC	General Securities Representative	Approved	01/28/2024
B	NYSE American LLC	General Securities Sales Supervisor	Approved	01/28/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	01/28/2024
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/28/2024
B	New York Stock Exchange	General Securities Representative	Approved	01/28/2024
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	01/28/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/25/2024
B	Alaska	Agent	Approved	03/08/2024
B	Arizona	Agent	Approved	03/19/2024
B	Arkansas	Agent	Approved	05/13/2024
B	California	Agent	Approved	03/08/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	03/18/2024
B	Connecticut	Agent	Approved	03/07/2024
B	Delaware	Agent	Approved	03/20/2024
B	District of Columbia	Agent	Approved	03/07/2024
B	Florida	Agent	Approved	03/08/2024
B	Georgia	Agent	Approved	03/11/2024
B	Hawaii	Agent	Approved	06/07/2024
B	Idaho	Agent	Approved	03/11/2024
B	Illinois	Agent	Approved	03/14/2024
B	Indiana	Agent	Approved	03/18/2024
B	Iowa	Agent	Approved	03/08/2024
B	Kansas	Agent	Approved	03/07/2024
B	Kentucky	Agent	Approved	04/23/2024
B	Louisiana	Agent	Approved	03/14/2024
B	Maine	Agent	Approved	03/08/2024
B	Maryland	Agent	Approved	11/06/2024
B	Massachusetts	Agent	Approved	05/09/2024
B	Minnesota	Agent	Approved	03/07/2024
B	Mississippi	Agent	Approved	03/08/2024
B	Missouri	Agent	Approved	04/17/2024
IA	Missouri	Investment Adviser Representative	Approved	04/17/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	03/11/2024
B	Nebraska	Agent	Approved	03/07/2024
B	Nevada	Agent	Approved	03/08/2024
B	New Hampshire	Agent	Approved	04/11/2024
B	New Jersey	Agent	Approved	03/07/2024
B	New Mexico	Agent	Approved	03/08/2024
B	New York	Agent	Approved	01/28/2024
IA	New York	Investment Adviser Representative	Approved	02/27/2024
B	North Carolina	Agent	Approved	03/11/2024
B	North Dakota	Agent	Approved	03/11/2024
B	Ohio	Agent	Approved	03/08/2024
B	Oklahoma	Agent	Approved	04/24/2024
B	Oregon	Agent	Approved	03/09/2024
B	Pennsylvania	Agent	Approved	03/08/2024
B	Puerto Rico	Agent	Approved	04/04/2024
B	Rhode Island	Agent	Approved	03/11/2024
B	South Carolina	Agent	Approved	03/12/2024
B	South Dakota	Agent	Approved	03/08/2024
B	Tennessee	Agent	Approved	03/08/2024
B	Texas	Agent	Approved	03/08/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/20/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	03/08/2024
B	Vermont	Agent	Approved	04/18/2024
B	Virgin Islands	Agent	Approved	03/08/2024
B	Virginia	Agent	Approved	04/10/2024
B	Washington	Agent	Approved	04/18/2024
B	West Virginia	Agent	Approved	03/11/2024
B	Wisconsin	Agent	Approved	03/21/2024
B	Wyoming	Agent	Approved	03/11/2024

Branch Office Locations

EDWARD JONES
New York, NY

EDWARD JONES
1245 JJ KELLEY MEMORIAL DRIVE
ST LOUIS, MO 63131

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 3 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	03/03/1994

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	09/11/2018
B	Futures Managed Funds Examination	Series 31	06/28/1993
B	General Securities Representative Examination	Series 7	03/18/1989

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	02/26/2024
IA	Uniform Investment Adviser Law Examination	Series 65	08/31/2010
B	Uniform Securities Agent State Law Examination	Series 63	03/31/1989

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
IA	09/2021 - 02/2022	WILMINGTON CAPITAL SECURITIES, LLC	133839	Garden City, NY
B	09/2021 - 02/2022	WILMINGTON CAPITAL SECURITIES, LLC	133839	GARDEN CITY, NY
IA	05/2021 - 09/2021	WILMINGTON CAPITAL SECURITIES, LLC	133839	New York, NY
B	04/2021 - 09/2021	WILMINGTON CAPITAL SECURITIES, LLC	133839	GARDEN CITY, NY
B	09/2020 - 04/2021	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY
B	04/2020 - 08/2020	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	NEW YORK, NY
IA	04/2019 - 02/2020	PARITAS CAPITAL MANAGEMENT, LLC	175415	DARIEN, CT
B	05/2017 - 09/2018	SPARTAN CAPITAL SECURITIES, LLC	146251	NEW YORK, NY
B	11/2014 - 12/2016	TIGRESS FINANCIAL PARTNERS, LLC	154717	NEW YORK, NY
B	06/2011 - 01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
IA	06/2011 - 01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
IA	09/2010 - 06/2011	MORGAN STANLEY SMITH BARNEY LLC	149777	NEW YORK, NY
B	06/2010 - 06/2011	MORGAN STANLEY SMITH BARNEY	149777	NEW YORK, NY
B	06/2009 - 07/2009	MORGAN STANLEY SMITH BARNEY	149777	PURCHASE, NY
B	02/1996 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B	08/1993 - 12/1995	FIDELITY BROKERAGE SERVICES, INC.	7784	SMITHFIELD, RI
B	03/1989 - 07/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

Employment History

Registration and Employment History

Employment History, continued

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
12/2023 - Present	EDWARD JONES	HR Enterprise Learning	Y	ST LOUIS, MO, United States
10/2022 - 12/2023	ELITE CONSULTING PARTNERS	SENIOR TRANSITION CONSULTANT	N	MOORESTOWN, NJ, United States
07/2021 - 08/2022	1WEST COMMERCIAL	DIRECTOR BUSINESS LENDING	N	NEW YORK, NY, United States
04/2021 - 04/2022	LITTLEBANC ADVISORS	PRINCIPAL	N	DELRAY BEACH, FL, United States
04/2021 - 02/2022	WILMINGTON CAPITAL SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	GARDEN CITY, NY, United States
07/2020 - 04/2021	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	NEW YORK, NY, United States
07/2020 - 04/2021	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
07/2020 - 04/2021	WEALTH ADVISORY GROUP	FIELD REPRESENTATIVE	Y	NEW YORK, NY, United States
04/2020 - 08/2020	Northwestern Mutual Investment Services LLC	Registered Representative	Y	New York, NY, United States
01/2019 - 07/2020	LiftForward, Inc.	Business Development	N	New York, NY, United States
04/2019 - 02/2020	Paritas Capital Management	Business Development	Y	Darien, CT, United States
04/2017 - 01/2020	AFLAC	Benefits Advisor	Y	New York, NY, United States
08/2018 - 02/2019	Syren Capital	Business Development	Y	New York, NY, United States
07/2017 - 08/2018	Lisiten Associates	Regional Sales Director	N	New York, NY, United States
05/2017 - 08/2018	Spartan Capital Securities LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
12/2016 - 04/2017	Colonial Life	Insurance Agent	N	NEW YORK, NY, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2014 - 12/2016	TIGRESS FINANCIAL PARTNERS, LLC	SENIOR VICE-PRESIDENT, GLOBAL WEALTH MANAGEMENT	Y	NEW YORK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Events

What you should know about reported disclosure events:

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

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - o A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

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

	Pending	Final	On Appeal
Judgment/Lien	1	N/A	N/A

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.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	State of New York
Judgment/Lien Amount:	$41,507.14
Judgment/Lien Type:	Tax
Date Filed with Court:	05/25/2018
Date Individual Learned:	06/11/2018
Type of Court:	State Court
Name of Court:	New York Civil Court
Location of Court:	New York, NY
Docket/Case #:	E-047460352-W001-2
Judgment/Lien Outstanding?	Yes

End of Report

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