

BrokerCheck Report
Guy William Steele
 CRD# 1922223

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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:
 - o 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
 - o 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.

Guy W. Steele

CRD# 1922223

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

IA EDWARD JONES
 4099 TAMIAMI TRAIL N STE 303
 NAPLES, FL 34103
 CRD# 250
 Registered with this firm since: 01/13/1997

B EDWARD JONES
 4099 TAMIAMI TRAIL N STE 303
 NAPLES, FL 34103
 CRD# 250
 Registered with this firm since: 02/14/1989

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
- 37 U.S. states and territories

This broker has passed:

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

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

No information reported.

Disclosure Events

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

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	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 37 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	02/14/1989
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	02/14/1989

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/07/2007
B	Arkansas	Agent	Approved	09/05/2007
B	California	Agent	Approved	02/28/1989
B	Colorado	Agent	Approved	04/19/2005
B	Connecticut	Agent	Approved	12/04/2013
B	District of Columbia	Agent	Approved	12/01/2004
B	Florida	Agent	Approved	04/01/2003
IA	Florida	Investment Adviser Representative	Approved	10/28/2024
B	Georgia	Agent	Approved	08/08/2008

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	10/28/1994
B	Idaho	Agent	Approved	01/18/2024
B	Illinois	Agent	Approved	11/26/2007
B	Iowa	Agent	Approved	07/22/2019
B	Kansas	Agent	Approved	12/18/2007
B	Louisiana	Agent	Approved	02/20/2004
B	Maine	Agent	Approved	04/08/2014
B	Maryland	Agent	Approved	07/09/2009
B	Massachusetts	Agent	Approved	04/08/2014
B	Michigan	Agent	Approved	10/23/2025
B	Minnesota	Agent	Approved	10/03/2006
B	Mississippi	Agent	Approved	09/05/2012
B	Missouri	Agent	Approved	05/11/2011
B	Montana	Agent	Approved	07/18/2022
B	Nevada	Agent	Approved	05/07/2004
B	New Hampshire	Agent	Approved	02/21/2012
B	New Jersey	Agent	Approved	08/24/2022
B	New York	Agent	Approved	06/13/2003
B	North Carolina	Agent	Approved	03/05/2002
B	North Dakota	Agent	Approved	06/24/2003
B	Ohio	Agent	Approved	07/14/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	05/20/1989
B	Pennsylvania	Agent	Approved	08/19/2011
B	South Carolina	Agent	Approved	03/11/2005
B	Tennessee	Agent	Approved	03/27/2017
B	Texas	Agent	Approved	08/02/2002
IA	Texas	Investment Adviser Representative	Approved	08/19/2014
B	Virginia	Agent	Approved	08/07/2013
B	Washington	Agent	Approved	11/25/2004
B	Wyoming	Agent	Approved	08/27/2004

Branch Office Locations

EDWARD JONES

4099 TAMiami TRAIL N STE 303
NAPLES, FL 34103

EDWARD JONES

NAPLES, FL



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 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	02/11/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/22/1989

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 **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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
No information reported.			

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/1988 - Present	EDWARD JONES	Financial Advisor	Y	KAILUA, HI, 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.

SINATRA RADIO SHOW

Type of business: PUBLIC RADIO SHOW

KAILUA, HI

Start date: 10/15/2005

Producer

Hours per week: 10

Hours during trading: 0

Produce a Sinatra radio show that airs each week on pure jazzradio.org

SELF

Type of business: SINATRA RADIO SHOW

NAPLES, FL

Start date: 10/5/1998

Hours per week: 10

Hours during trading: 0

Produce a Sinatra radio show

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
Regulatory Event	0	1	0
Customer Dispute	0	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:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/28/2024
Docket/Case Number:	124822-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	EDWARD D. JONES & CO., L.P.
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 10/28/2024

Sanctions Ordered: Cease and Desist

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 10/28/2024

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

On October 28, 2024, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Guy William Steele (Steele). Steele neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Steele violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Steele agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Steele's application as an associated person (RA) with Edward D. Jones & Co., L.P. effective October 28, 2024.

Reporting Source: Broker

Regulatory Action Initiated By: State of Florida, Office of Financial Regulation

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)



Date Initiated:	10/28/2024
Docket/Case Number:	124822-SR
Employing firm when activity occurred which led to the regulatory action:	EDWARD JONES
Product Type:	No Product
Allegations:	The State of Florida, Office of Financial Regulation (the "Office") finds that the registered representative violated section 517.12(4), Florida Statutes (2023), by reinvestment advice, from a location within Florida, without being registered with the Office as an associated person of Edward Jones.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/28/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/08/2024
Was any portion of penalty waived?	No
Amount Waived:	



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	10/27/08; CUSTOMER CLAIMS IN OCTOBER OF 2008 SHE STARTED CALLING THE FA CONCERNED WITH THE MARKET AND THE LOSSES IN HER ACCOUNT. CLIENT INDICATED THAT SHE REQUESTED HER ASSETS BE MOVED TO A CD AND THE FA TALKED HER OUT OF THAT UNTIL LATE OCTOBER AND THEN HE MOVED HER IRA TO CD(S). THE CLIENT CLAIMS HE FA DID NOT ADVISE HER PROPERLY CAUSING HER TO LOSE \$136,040 AND WANTS TO BE REIMBURSED THAT AMOUNT. LOSSES EXCEED \$5000.00
Product Type:	Annuity-Variable
Alleged Damages:	\$136,040.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/16/2009
Complaint Pending?	No
Status:	Denied
Status Date:	11/12/2009
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	ACCORDING TO THE FA ON OCTOBER 17, 2008, THE CLIENT WANTED TO LIQUIDATE ALL HER ASSETS IN BOTH ACCOUNTS AND MOVE TO CDS. THE
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FA INDICATED THAT THIS WAS NOT IN HER BEST INTEREST & CONTRADICTED HER BUY & HOLD FOR THE LONG TERM PHILOSOPHY. THE FA RECOMMENDED SHE PURCHASE THE AMERICAN LEGACY VARIABLE ANNUITY. HE INDICATED HE DISCUSSED IN DETAIL THE ANNUITY, THE PROTECTION OF INCOME, DEATH BENEFIT, SALES CHARGE AND VARIOUS BREAKPOINTS, WHILE STILL BEING ABLE TO PARTICIPATE IN ANY MARKET RECOVERY. ACCORDING TO THE FA, THE CLIENT AGREED TO HIS RECOMMENDATION AND PURCHASED \$136,800 IN HER TRUST ACCOUNT ON OCTOBER 27, 2008. THE CLIENT SIGNED THE REPOSITIONING OF ASSET LETTER, WHICH SPECIFICALLY DISCLOSED THE COMMISSION. ON JANUARY 12, 2009 THE CLIENT MET WITH THE FA AND EXPRESSED NO CONCERNS ABOUT HER PORTFOLIO OR DISPLEASURE WITH HER ANNUITY. AT THAT TIME, OUR RECORDS SHOWED THAT THE CLIENT HAD A CD MATURING AND FA STATES HE RECOMMENDED THE AMERICAN LEGACY FOR THOSE PROCEEDS IN HER IRA ACCOUNT. OUR RECORDS SHOW THE PROCEEDS WERE PLACED IN THE CASH MANAGEMENT ACCOUNT, AND THE CLIENT SIGNED THE APPROPRIATE DOCUMENTS TO PURCHASE THE ANNUITY. BASED ON OUR REVIEW OF THIS MATTER IT IS OUR OPINION THAT MR. STEELE HANDLED THE ACCOUNT BOTH APPROPRIATELY AND PROFESSIONALLY. IN ADDITION, SHE RECEIVED THE APPROPRIATE INFORMATION TO MAKE AN INFORMED DECISION REGARDING YOUR ANNUITY INVESTMENT. IN LIGHT OF THIS, REQUEST FOR REIMBURSEMENT IS RESPECTFULLY DENIED.

End of Report



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