

BrokerCheck Report

Vickie V Wicks

CRD# 2119026

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7
Disclosure Events	8



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - 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.

**Vickie V. Wicks**

CRD# 2119026

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

IA EDWARD JONES
 4315 LAKE STREET SUITE 1
 LAKE CHARLES, LA 70605
 CRD# 250
 Registered with this firm since: 01/12/2007

B EDWARD JONES
 4315 LAKE STREET SUITE 1
 LAKE CHARLES, LA 70605
 CRD# 250
 Registered with this firm since: 07/18/1995

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
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

B GNA SECURITIES, INC.
 CRD# 10465
 GLEN ALLEN, VA
 01/1991 - 06/1995

Disclosure Events

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

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 4 SROs and is licensed in 25 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	07/18/1995
B	FINRA	General Securities Principal	Approved	03/22/2016
B	FINRA	Invest. Co and Variable Contracts	Approved	07/10/2020
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Principal	Approved	03/22/2016
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Principal	Approved	03/22/2016
B	New York Stock Exchange	General Securities Representative	Approved	07/18/1995
B	New York Stock Exchange	General Securities Principal	Approved	03/22/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/12/1998
B	Arizona	Agent	Approved	09/12/2018
IA	Arizona	Investment Adviser Representative	Approved	09/13/2018
B	Arkansas	Agent	Approved	06/02/2005

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/17/2024
B	Colorado	Agent	Approved	01/31/2024
B	District of Columbia	Agent	Approved	09/27/2010
B	Florida	Agent	Approved	07/02/1998
B	Georgia	Agent	Approved	10/22/1996
B	Indiana	Agent	Approved	04/23/2025
B	Kansas	Agent	Approved	03/12/2021
B	Kentucky	Agent	Approved	12/07/2021
B	Louisiana	Agent	Approved	06/26/1995
IA	Louisiana	Investment Adviser Representative	Approved	01/12/2007
B	Michigan	Agent	Approved	11/29/2022
B	Missouri	Agent	Approved	01/08/2019
B	Montana	Agent	Approved	01/04/2012
B	New Jersey	Agent	Approved	05/09/2011
B	New York	Agent	Approved	02/12/2020
B	North Carolina	Agent	Approved	08/26/2022
B	Oregon	Agent	Approved	03/30/2021
B	South Carolina	Agent	Approved	06/18/2025
B	Tennessee	Agent	Approved	06/10/2019
B	Texas	Agent	Approved	08/08/1995
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2014

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	07/24/2024
B	Washington	Agent	Approved	03/08/2021
B	Wyoming	Agent	Approved	07/10/2020

Branch Office Locations

EDWARD JONES
4315 LAKE STREET SUITE 1
LAKE CHARLES, LA 70605

EDWARD JONES
Mesa, AZ

EDWARD JONES
18700 N Hayden Rd Suite 190
Scottsdale, AZ 85255



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/22/2016

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/17/1995
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/29/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/06/2016
B Uniform Securities Agent State Law Examination	Series 63	07/20/1995

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).

Chartered Financial Consultant

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 01/1991 - 06/1995	GNA SECURITIES, INC.	10465	GLEN ALLEN, VA

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
06/1995 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	LAKE CHARLES, LA, 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.

BETTER BUSINESS BUREAU BOARD MEMBER
 QLQH CATHOLIC SCHOOL BOARD MEMBER
 SOWELA TECHNICAL COLLEGE FOUNDATION BOARD MEMBER

Vickie Wicks - Authoring a Book through Streamline
 Type of business: Industry Related Books
 Lake Charles, LA
 Start date: 7/7/2025
 Financial Advisor/Author
 Hours per week: 5
 Hours during trading: 0
 Outside Business - I'm writing a book

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
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - 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: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 10/08; CLIENT CLAIMS HE HAD INSTRUCTED THE FA TO MOVE ALL HIS ACCOUNTS TO A SAFE POSITION IF THE VALUE OF THE ACCOUNTS FELL TO 5% AND THEN LOWERED THAT TO 3%. CLIENT CLAIMS THE FA DID NOT MOVE ALL OF HIS ASSETS AND AS A RESULT HIS SUSTAINED LOSSES OF \$200,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 10/28/2008

Complaint Pending? No

Status: Denied

Status Date: 01/07/2009

Settlement Amount:

Individual Contribution Amount:



Broker Statement

CLIENT WAS INFORMED COULD ESTABLISH ALERTS TO CHECK CLOSING PRICES ON STKS & MUTUAL FDS & CLIENT WAS INFORMED HE WOULD HAVE RESPONSIBILITY OF MAKING DECISIONS REGARDING CHANGES IN ACCTS & NO TRADE WOULD BE AUTOMATICALLY PLACED. FA STATED CLIENT WAS BALANCED IN AMERICAN FDS W/EMPHASIS ON GROWTH & INCOME. CLIENT WAS PROVIDED W/STATEMENTS REFLECTING HOLDINGS & ESTIMATED VALUES. 1/08, FA RECOMMENDED & EXCHANGES WERE MADE TO BALANCED FD AS CLIENT WAS MOVING CLOSER TO RETIREMENT. BASED ON REVIEW OF E-MAILS & THROUGH COMMENTS OF FA, FA ALWAYS RESPONDED TO QUESTIONS & CONCERNS. AS CLIENT INDICATED HE DID NOT PLAN ON TAKING DISTRIBUTIONS OR RETIRING UNTIL AFTER 2009, FA CONTINUED TO RECOMMEND STAYING COURSE & ALLOWING MKT VOLATILITY TO CALM. FA STATED SHE RECEIVED E-MAIL ON 10/6/08 REGARDING REQUEST TO SELL ALL FDS & MOVE TO MNY MKT. FA STATED SHE CONTACTED CLIENT & INFORMED HIM COULD NOT ACCEPT TRADE INSTRUCTIONS BY E-MAIL & ASKED IF WANTED TO PROCEED WITH REQUEST. IT WAS DETERMINED CLIENT WOULD CONTINUE TO HOLD CAPITAL INC BUILDER & BAL FD & MOVE INTN'L FDS TO BOND FD. EXCHANGES WERE MADE W/ CLIENT'S AUTH. FA STATED AGAIN SPOKE WITH CLIENT ON 10/15/08 AND CLIENT ASKED OPINION ON INDEXED ANNUITIES. FA STATED CLIENT NEVER REFERENCED ACTIVITY OF 10/6 & WAS UNAWARE OF ANY CONCERN REGARDING TRADES NOT BEING PLACED CORRECTLY. AS INSTRUCTED, ACCTS WERE LIQUIDATED AS OF 10/28/08 AS MKT HAD ALREADY CLOSED BY TIME INSTRUCTIONS WERE CONFIRMED ON 10/27/08. BASED ON REVIEW, FUNDS WERE WITHIN SCOPE OF INVESTMENT OBJECTIVES AS REFLECTED ON ACCTS & CLIENT WAS AWARE, WHILE FA COULD WATCH ACCTS, NO ORDERS COULD BE PLACED W/OUT INSTRUCTION & AUTH. WHILE CLIENT HAD VARIOUS CONVERSATIONS BY E-MAIL & PHONE W/ FA, NO INSTRUCTIONS REGARDING LIQUIDATION OF ACCTS WERE GIVEN UNTIL 10/6 TO EXCHANGE FDS & ULTIMATELY LIQUIDATE ACCTS 10/27 (AFTER MKT CLOSE). CLAIM DENIED.

Disclosure 2 of 2

Reporting Source:

Employing firm when activities occurred which led to the complaint:

Broker

EDWARD JONES

Allegations:

THE CLIENT STATES ON 11/11/99 SHE INSTRUCTED THE IR TO SELL HER VRSN. THE CLIENT STATES ON 11/12/99 SHE TOLD THE IR SHE EXPECTED VRSN TO DROP AND INSTRUCTED HER TO RE-PURCHASE HER SHARES OF VRSN BUT KEEP HER PROFIT FROM THE 11/11/SELL. THE CLIENT STATES



THE IR DID NOT RE-PURCHASE THE STOCK AS INSTRUCTED AND HAS LOST PROFITS. THE STOCK WAS TRADING AT \$85 ON 11/12 AND IS TRADING AT \$205 ON 1/20/00.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/19/2000

Complaint Pending? No

Status: Denied

Status Date: 02/09/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE IR STATES THE CLIENT LEFT THREE SEPERATE MESSAGES WITH HER OFFICE, THE FIRST MESSAGE INSTRUCTED HER TO SELL VRSN, THE SECOND SAID NOT TO SELL VRSN AND THE THIRD MESSAGE INDICATED SELL. THE IR CONTACTED THE CLIENT FOR CLARIFICATION. AT THAT TIME, THE IR ENTERED THE ORDER TO SELL BASED ON THE CLIENTS INSTRUCTIONS AND TO HOLD PROCEEDS IN HER CASH ACCOUNT. THE IR STATES THERE WERE NEVER ANY FURTHER INSTRUCTIONS TO REPURCHASE VRSN. CLAIM RESPECTFULLY DENIED.

End of Report



This page is intentionally left blank.