

BrokerCheck Report

Mark Thomas Harrison

CRD# 2226387

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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.



Mark T. Harrison

CRD# 2226387

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

IA EDWARD JONES
437 Locust Street
CHILLICOTHE, MO 64601
CRD# 250
Registered with this firm since: 02/11/1999

B EDWARD JONES
437 Locust Street
CHILLICOTHE, MO 64601-0828
CRD# 250
Registered with this firm since: 04/13/1993

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
- 30 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):

B EDWARD D. JONES & CO., L.P.
CRD# 250
ST. LOUIS, MO
04/1992 - 02/1993

Disclosure Events

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

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4



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 30 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	04/13/1993
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	04/13/1993

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/25/2019
B	Arizona	Agent	Approved	08/16/2000
B	Arkansas	Agent	Approved	02/17/2005
B	California	Agent	Approved	07/05/2000
B	Colorado	Agent	Approved	04/06/2018
B	District of Columbia	Agent	Approved	05/10/2017
B	Florida	Agent	Approved	11/14/2005
B	Georgia	Agent	Approved	04/27/2005
B	Illinois	Agent	Approved	04/23/1993

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	05/13/2005
B	Kansas	Agent	Approved	09/19/2005
B	Kentucky	Agent	Approved	06/27/2016
B	Louisiana	Agent	Approved	07/14/2016
B	Maryland	Agent	Approved	04/12/2010
B	Michigan	Agent	Approved	07/24/2001
B	Minnesota	Agent	Approved	02/18/2019
B	Mississippi	Agent	Approved	11/13/2024
B	Missouri	Agent	Approved	04/20/1993
IA	Missouri	Investment Adviser Representative	Approved	02/11/1999
B	Nebraska	Agent	Approved	08/29/2018
B	New Mexico	Agent	Approved	01/06/2005
B	New York	Agent	Approved	03/23/2006
B	North Carolina	Agent	Approved	04/01/2004
B	Ohio	Agent	Approved	02/28/2007
B	Oklahoma	Agent	Approved	03/23/2006
B	South Dakota	Agent	Approved	10/08/2018
B	Texas	Agent	Approved	06/03/2005
IA	Texas	Investment Adviser Representative	Restricted Approval	02/20/2019
B	Utah	Agent	Approved	12/26/2018
B	Virginia	Agent	Approved	04/13/2020

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	10/23/1997
B	Wisconsin	Agent	Approved	01/31/2025

Branch Office Locations

EDWARD JONES
437 Locust Street
CHILLICOTHE, MO 64601-0828



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	04/15/1992

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/23/1992

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
B 04/1992 - 02/1993	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO

Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
03/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	ARNOLD, MO, 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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

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

	Pending	Final	On Appeal
Customer Dispute	0	4	N/A



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 4

Reporting Source: Broker

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

Allegations: 01/2009-07/2009; CLIENT STATES THE FA DID NOT DO MUCH "ADVISING" FOR HER FATHER'S ACCOUNT. CLIENT STATES APPROXIMATELY 1 1/2 YEARS AGO, HER FATHER'S INVESTMENTS WERE VALUED AT \$1,000,000.00 AND AT THE TIME OF HIS DEATH HE HAD LOST OVER \$300,000.00. CLIENT QUESTIONS WHY THE FA HAD HER FATHER INVESTED IN HIGH YIELD/HIGH LOSS ACCOUNTS AND WHY THE FA DID NOT ADVISE HER FATHER TO MAKE CHANGES TO THE PORTFOLIO ALLOCATION. CLIENT ALSO INDICATES SEVERAL ISSUES RELATED TO THE PROCESSING OF HER FATHER'S ACCOUNT AND STATES SHE WOULD THINK THAT THE FA WOULD KNOW HOW TO HANDLE DISTRIBUTIONS TO BENEFICIARIES. CLIENT DOES NOT MAKE A SPECIFIC CLAIM; HOWEVER, SHE ALLEGES DAMAGED IN EXCESS OF \$300,000.00 - FILING REQUIRED.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

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: 07/13/2009

Complaint Pending? No

Status: Denied

Status Date: 08/06/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO OUR RECORDS, THE FATHER'S ACCOUNT WAS ESTABLISHED IN 2005. THE FA HAS INDICATED IN REVIEWING THE ACCOUNT THE FATHER ALWAYS SEEMED TO BE SATISFIED WITH THE PERFORMANCE OF THE INVESTMENTS AS WELL AS THE INCOME PRODUCED. SINCE THE ACCOUNT WAS ESTABLISHED, THE CLIENT HAS RECEIVED ACCOUNT STATEMENTS WHICH PROVIDED INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT DO NOT SEEM TO BE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES. WHILE WE UNDERSTAND THE DAUGHTER'S DISAPPOINTMENT WITH THE DECLINE IN THE VALUE OF THE ACCOUNT, THE DECLINE APPEARS TO BE ATTRIBUTED TO MARKET FLUCTUATION AS WELL AS WITHDRAWALS. UNFORTUNATELY, WE HAVE ALSO EXPERIENCED UNPRECEDENTED MARKET CONDITIONS WHICH HAVE HAD A SIGNIFICANT IMPACT ON ACCOUNT VALUATIONS. THE FA HAS INDICATED, WHEN HE INITIALLY DISCUSSED THE DISTRIBUTION OF THE CLIENT'S ACCOUNT WITH HIS DAUGHTER, HE WAS SPEAKING IN GENERALITIES AND, AT THAT TIME, DID NOT REALIZE THE ACCOUNT IN QUESTION HAD A TRANSFER ON DEATH AGREEMENT ON FILE. OUR RECORDS REFLECT THE PAPERWORK TO PROCESS THE ACCOUNT WAS SIGNED ON JULY 2, 2009 AND THE DISTRIBUTION TO THE DAUGHTER'S SINGLE REGISTRATION ACCOUNT WAS COMPLETED ON THE JULY 6, 2009. BASED ON OUR REVIEW, IT IS OUR OPINION; THE DISTRIBUTION OF THE ACCOUNT WAS HANDLED IN AN APPROPRIATE AND TIMELY MANNER.

Disclosure 2 of 4

Reporting Source: Broker

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



Allegations: CLIENT CLAIMS THE IR PLACED HER FUNDS IN A VARIABLE ANNUITY INSTEAD OF A FIXED ANNUITY AS INSTRUCTED. CLIENT CLAIMS SHE NEEDED TO KEEP THESE FUNDS LIQUID DUE TO HUSBAND'S HEALTH PROBLEMS. CLIENT IS REQUESTING HELP TO RESOLVE THIS MATTER. CLAIM EXCEEDS \$5,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 05/15/2003

Complaint Pending? No

Status: Denied

Status Date: 06/10/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

IR STATED HE DISCUSSED A NUMBER OF OPTIONS REGARDING THE REINVESTMENT OF PRINCIPAL AND INTEREST FROM A MATURING CD. ACCORDING TO IR CLIENT WAS INTERESTED IN THE ANNUITY INVESTMENT AND HE COVERED BOTH FIXED AND VARIABLE ANNUITIES. IR STATED HE ULTIMATELY RECOMMENDED THE POLARIS II VARIABLE ANNUITY. HE FURTHER STATED HE DISCUSSED THE FEATURES OF THE ANNUITY TO INCLUDE THE SURRENDER CHARGE, DEATH BENEFIT AND WITHDRAWALS ELIGIBLE WITHOUT PENALTY. HE INDICATED HE ALSO DISCUSSED THE SUBACCOUNTS THAT HE RECOMMENDED AND EXPLAINED HOW THE PRINCIPAL INVESTED WOULD BE DOLLAR COST AVERAGED (DCA) INTO THE SUBACCOUNTS OVER A PERIOD OF TIME. ACCORDING TO IR, HE EXPLAINED THE MONIES IN THE DCA POOL WOULD EARN A SET INTEREST RATE UNTIL MOVED (OVER A SIX MONTH PERIOD) INTO THE SUBACCOUNTS SELECTED. IR STATED HE INFORMED CLIENT THAT ONCE THE FUNDS WERE INVESTED IN THE SUBACCOUNTS, THEY WOULD BECOME SUSCEPTIBLE TO MARKET FLUCTUATION. IR STATED HE HAD NO REASON TO BELIEVE THERE WAS ANY CONFUSION ON CLIENT'S PART AS TO THE INVESTMENT BEING A VARIABLE ANNUITY. OUR RECORDS INDICATE THE ANNUITY WAS ISSUED ON MAY 31, 2000, AND CLIENT WOULD HAVE RECEIVED CUSTOMER STATEMENTS FROM THE DATE OF PURCHASE FROM BOTH THE ANNUITY COMPANY AND EDWARD JONES REFLECTING THE PERFORMANCE OF THE ANNUITY CONTRACT. THE EDWARD JONES STATEMENTS SPECIFICALLY REFER TO THE ANNUITY INVESTMENT AS A VARIABLE ANNUITY. CLAIM DENIED.



Disclosure 3 of 4

Reporting Source: Broker

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

Allegations: THE CLIENT STATES SHE LETS HARRISON MAKE RECOMMENDATIONS FOR HER ACCOUNT, HER DAUGHTERS ACCOUNT AND FOR EDUCATIONAL IRAS FOR HER GRANDCHILDREN. THE CLIENT STATES HARRISON RECOMMENDED THE THREE GRANDKIDS INVEST IN PUTNAM OTC EMERGING GROWTH FUNDS AND RECOMMENED VARIOUS MUTUAL FUNDS IN HER ROTH IRA. THE CLIENT IS UNHAPPY WITH THE PERFORMANCE OF THE FUNDS HARRISON RECOMMENDED. THE VALUE OF THE FOUR ACCOUNTS HAD DECLINED APPROXIMATELY \$6,300.

Product Type: Mutual Fund(s)

Alleged Damages: \$6,300.00

Customer Complaint Information

Date Complaint Received: 03/28/2001

Complaint Pending? No

Status: Denied

Status Date: 05/22/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED HE MADE HIS RECOMMENDATIONS BASED ON INFORMATION HE RECEIVED FROM THE CUSTOMER AND ACKNOWLEDGED HE HAD RECOMMENDED THE AGGRESSIVE GROWTH FUNDS FOR THE GRANDCHILDREN'S ACCOUNTS. MR. HARRISON CLAIMS HE EXPLAINED THE RISKS INVOLVED WITH THE INVESTMENTS AND ALSO PROVIDED INFORMATION CONCERNING ALTERNATIVE INVESTMENTS TO THE CUSTOMER AND HER DAUGHTER. MR. HARRISON



INDICATED HE PROVIDED INFORMATION CONCERNING A VARIETY OF MUTUAL FUNDS TO THE CUSTOMER AND THE INVESTMENTS MADE WERE AUTHORIZED BY THE GRANDMOTHER AND HER DAUGHTER WHO WAS THE NAMED CUSTODIAN. PROSPECTUSES WERE ALSO PROVIDED TO THE CUSTOMERS FOR THE FUNDS. OUR POSITION IS THAT IT IS UNFORTUNATE MARKET FLUCTUATION HAS RESULTED IN THE INVESTMENTS DROPPING IN VALUE, BUT MR. HARRISON MADE HIS RECOMMENDATIONS IN GOOD FAITH, EXPLAINED THE RISKS INVOLVED WITH THE INVESTMENTS AND THE CUSTOMER AND HER DAUGHTER AUTHORIZED THE TRADES. CLAIM DENIED.

Disclosure 4 of 4

Reporting Source: Broker

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

Allegations: IN JUNE 1999 THE CLIENT REINVESTED PROCEEDS FROM UTILITY BONDS THAT WERE CALLED INTO A FORTIS ANNUITY BASED ON HARRISONS RECOMMENDATION. THE CLIENT FEELS AN ANNUITY IS NOT A SUTIALE INVESTMENT FOR AN INDIVIDUAL HIS AGE. THE CLIENT FURTHER STATES HARRISON DID NOT EXPLAIN THE INVESTMENT PROPERLY. AT THE TIME OF THE LETTER THE ANNUITY SURRENDER VALUE WOULD EXCEED \$30,000.

Product Type: Annuity-Fixed

Alleged Damages: \$30,000.00

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: 02/05/2001

Complaint Pending? No

Status: Denied



Status Date: 04/04/2001

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

HARRISON INDICATES HE VISITED WITH THE CLIENT FOR A NUMBER OF YEARS REGARDING GROWTH INVESTING AND ADDRESSED QUESTIONS ON THE ANNUITY PRIOR TO THE INVESTMENT BEING MADE. HARRISON STATES HE RECOMMENDED THE ANNUITY BECAUSE OF THE CLIENTS CONCERN OVER THE INTEREST RATES AT THE TIME AND THE LACK OF GROWTH OF HIS PRINCIPAL. HARRISON STATES THE DETAILS OF THE ANNUITY, INCLUDING CDSC CHARGES, WERE DISCUSSED AS WELL AS THE POSSIBILITY OF VALUE CHANGING WITH THE FLUCTUATING MARKET. IT APPEARS THE ANNUITY WAS PURCHASED BASED ON CONVERSATIONS WITH THE CLIENT AND WITH THE CLIENTS AUTHORIZATION. CLAIM DENIED.

End of Report



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