

BrokerCheck Report
Steven John Duffy
 CRD# 2308566

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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.



Steven J. Duffy

CRD# 2308566

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

IA EDWARD JONES
1995 EL CAMINO REAL SUITE 302
SANTA CLARA, CA 95050
CRD# 250
Registered with this firm since: 02/02/2007

B EDWARD JONES
1995 EL CAMINO REAL SUITE 302
SANTA CLARA, CA 95050
CRD# 250
Registered with this firm since: 03/18/1993

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
- 25 U.S. states and territories

This broker has passed:

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

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
Criminal	1
Customer Dispute	3



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	03/18/1993
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	03/18/1993

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/18/2014
B	Arizona	Agent	Approved	06/01/1999
B	California	Agent	Approved	05/13/1993
IA	California	Investment Adviser Representative	Approved	02/02/2007
B	Colorado	Agent	Approved	07/19/2011
B	Florida	Agent	Approved	08/08/2014
B	Georgia	Agent	Approved	08/01/2022
B	Hawaii	Agent	Approved	05/03/2012
B	Idaho	Agent	Approved	03/10/1998



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	07/26/2016
B	Maryland	Agent	Approved	08/21/2017
B	Missouri	Agent	Approved	05/11/2015
B	Montana	Agent	Approved	03/18/2019
B	Nevada	Agent	Approved	03/23/2006
B	New Jersey	Agent	Approved	10/30/2013
B	New Mexico	Agent	Approved	01/10/2007
B	North Carolina	Agent	Approved	09/10/2015
B	Oregon	Agent	Approved	07/27/2007
B	Pennsylvania	Agent	Approved	09/14/2023
B	Rhode Island	Agent	Approved	05/19/2015
B	South Carolina	Agent	Approved	08/13/2008
B	Tennessee	Agent	Approved	07/27/2022
B	Texas	Agent	Approved	01/24/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/29/2021
B	Utah	Agent	Approved	11/22/2019
B	Washington	Agent	Approved	07/30/1993
B	Wyoming	Agent	Approved	12/07/2012

Branch Office Locations

EDWARD JONES

1995 EL CAMINO REAL SUITE 302

Broker Qualifications



Employment 1 of 1, continued

SANTA CLARA, CA 95050



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 2 state securities law exams.

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	03/15/1993

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/31/2007
B Uniform Securities Agent State Law Examination	Series 63	03/22/1993

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
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
11/1992 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SANTA CLARA, CA, 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.

DIOCESE OF SAN JOSE
 SAN JOSE, CA
 START DATE: 5/01/2005
 LAY PENSION BOARDMEMBER
 HOURS DURING WEEK: 0
 HOURS DURING TRADING: 0
 OVERSIGHT OF THE \$100 MILLION LAY PENSION POOL.

Diocese of San Jose
 San Jose, CA
 Start date: 6/1/2009
 Investment Committee
 Hours per week: 0
 Hours during trading: 0
 Review & meet with money managers on a quarterly basis to review performance of Investment Pool. Also review & recommend changes to the Investment Policy of the Diocese of San Jose.

Registration and Employment History



Other Business Activities, continued

Diocese of San Jose

San Jose, CA

Start date: 2/17/2005

Finance Council

Hours per week: 0

Hours during trading: 0

Attend monthly council meetings and vote on issues affecting the Diocese of San Jose.

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
Criminal	0	1	0
Customer Dispute	0	3	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	MUNICIPAL COURT OF CALIFORNIA, SANTA CLARA COUNTY JUDICIAL DISTRICT C-98-72344
Charge Date:	12/19/1997
Charge Details:	ON MAY 21, 1998 MR. DUFFY PLEADED GUILTY TO ONE COUNT UNDER CALIFORNIA VEHICLE CODE 23153, "CAUSING BODILY INJURY WHILE DRIVING UNDER THE INFLUENCE". THE CHARGE WAS TREATED AS A FELONY UNDER CALIFORNIA LAW. MR. DUFFY, AT THIS TIME, IS OUT ON BOND AND IS SCHEDULED TO APPEAR IN SUPERIOR COURT ON JUNE 26, 1998 FOR SENTENCING. THE EVENT THAT WAS THE SUBJECT OF THE GUILTY PLEA OCCURRED ON DECEMBER 19, 1997.
Felony?	Yes
Current Status:	Final
Status Date:	05/21/1998
Disposition Details:	ON NOVEMBER 1, 2001, THE SUPERIOR COURT OF CALIFORNIA, COUNTY OF SANTA CLARA ISSUED AN ORDER FINDING THAT MR. DUFFY HAD SATISFIED ALL THE TERMS AND CONDITIONS OF THE SENTENCE OF THE COURT ENTERED ON OR ABOUT MAY 21, 1998 AS A RESULT OF MR. DUFFY ENTERING A PLEA OF NO CONTEST TO A SINGLE COUNT OF VIOLATION OF PENAL CODE SS23152(A) PURSUANT TO A PLEA ARRANGEMENT. THE COURT FURTHER "ORDERED THAT THE PLEA, VERDICT OR FINDING OF GUILT IN THE ACTION TO BE SET ASIDE



AND VACATED AND A PLEA OF NOT GUILTY BE ENTERED; AND THAT THE COMPLAINT BE, AND IS HEREBY DISMISSED.

Broker Statement

PER NYSE LETTER DATED JUNE 17, 2002: BASED ON THE FACT THAT MR. DUFFY'S CONVICTION HAS BEEN REDUCED TO A MISDEMEANOR, PURSUANT TO SECTION 17 OF THE CALIFORNIA PENAL CODE, THE EXCHANGE HAS DETERMINED THAT HE IS NO LONGER SUBJECT TO A STATUTORY DISQUALIFICATION.



Customer Dispute - Settled

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT CLAIMS THE 10,000 SHARES OF ASYST STOCK SOLD WAS UNAUTHORIZED AND THE TRADES PURCHASED WITH THE SELL PROCEEDS WERE NOT AUTHORIZED. CLIENT WANTS THE 10,000 SHARES OF ASYST STOCK PUT BACK IN ACCOUNT ALONG WITH THE MUTUAL FUND BUYS CANCELLED. LOSSES EXCEED \$5,000.00
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	06/05/2003
Complaint Pending?	No
Status:	Settled
Status Date:	09/11/2003
Settlement Amount:	\$14,353.84
Individual Contribution Amount:	\$13,535.70
Broker Statement	UPON FURTHER INVESTIGATION, IT WAS FOUND THAT THE SALE OF 10,000 SHARES OF ASYT ON APRIL 11 AND 17, 2003, TOOK PLACE WITHOUT THE EXPRESS CONSENT OF THE CLIENT. THE FIRM OFFERED A SETTLEMENT TO THE CLIENT IN THE AMOUNT OF \$14,353.84, WHICH WAS ACCEPTED BY THE CLIENT PER A SIGNED SETTLEMENT OFFER DATED 09/08/03 AND RECEIVED BY THE FIRM 09/11/03. A CHECK WAS REQUESTED TO THE CLIENT FOR THIS AMOUNT ON 9/11/03. CLAIM SETTLED.



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:	THE CLIENT ALLEGES THE FINANCIAL ADVISOR PROVIDED POOR ADVICE REGARDING THE ROLLOVER OF TWO SEPARATE IRA DISTRIBUTIONS WITHIN A TWELVE MONTH PERIOD, WHICH HAS LED TO UNEXPECTED TAX CONSEQUENCES.
Product Type:	No Product
Alleged Damages:	\$20,900.00
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:	09/23/2014
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/31/2014
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	FOLLOWING THE FIRM'S INVESTIGATION INTO THE CLIENT'S ALLEGATIONS, THE COMPLAINT WAS RESOLVED WITH NO COMPENSATION TO THE CLIENT.

Disclosure 2 of 2



Reporting Source: Broker

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

Allegations: THE CLIENT STATED THAT SHE PROVIDED THE FA WITH SPECIFIC INSTRUCTIONS ON THIS ACCOUNT AND TO CONTACT HER CPA IF CHANGES NEEDED TO BE MADE TO HER INVESTMENTS. THE FA MADE NO CHANGES TO HER INVESTMENTS DURING THE PAST YEAR AND THE CLIENT ALLEGED THAT SHE LOST APPROXIMATELY \$110,000.00.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIOUS BONDS

Alleged Damages: \$110,000.00

Customer Complaint Information

Date Complaint Received: 03/19/2008

Complaint Pending? No

Status: Denied

Status Date: 04/08/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FA ADVISED THAT THIS ACCOUNT TRANSFERRED INTO HIS BRANCH OFFICE IN MARCH 2007. HE HAD SCHEDULED SEVERAL APPOINTMENTS WITH THIS CLIENT, BUT EACH WAS CANCELLED BY THE CLIENT WITHOUT RESCHEDULING. SINCE THE FA HAD NEVER MET THE CLIENT TO REVIEW HER PORTFOLIO AND WAS UNAWARE OF HER RISK TOLERANCE, HE WAS UNABLE TO MAKE ANY INVESTMENT RECOMMENDATIONS.

End of Report



This page is intentionally left blank.