

BrokerCheck Report

Scott R Bowman

CRD# 2414668

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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.



Scott R. Bowman

CRD# 2414668

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

IA EDWARD JONES
930 N YORK RD SUITE 214
HINSDALE, IL 60521
CRD# 250
Registered with this firm since: 03/02/2011

B EDWARD JONES
930 N YORK RD SUITE 214
HINSDALE, IL 60521
CRD# 250
Registered with this firm since: 08/23/1994

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
- 21 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
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 21 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	08/23/1994
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	08/29/2011

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/14/2011
B	Arkansas	Agent	Approved	03/26/2012
B	California	Agent	Approved	09/14/2011
B	Colorado	Agent	Approved	09/14/2011
B	Florida	Agent	Approved	09/14/2011
B	Georgia	Agent	Approved	12/15/2021
B	Illinois	Agent	Approved	08/29/2011
IA	Illinois	Investment Adviser Representative	Approved	08/29/2011
B	Indiana	Agent	Approved	09/14/2011



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	09/14/2011
B	Minnesota	Agent	Approved	09/14/2011
B	Nebraska	Agent	Approved	06/13/2012
B	Nevada	Agent	Approved	10/31/2022
B	New Jersey	Agent	Approved	09/14/2011
B	New York	Agent	Approved	10/10/2011
B	North Carolina	Agent	Approved	09/15/2011
B	Ohio	Agent	Approved	09/15/2011
B	Pennsylvania	Agent	Approved	08/25/2015
B	South Carolina	Agent	Approved	01/24/2025
B	Tennessee	Agent	Approved	05/30/2024
B	Texas	Agent	Approved	07/05/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	12/20/2018
B	Wisconsin	Agent	Approved	09/14/2011

Branch Office Locations

EDWARD JONES

930 N YORK RD SUITE 214
HINSDALE, IL 60521



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	08/22/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/01/2011
B Uniform Securities Agent State Law Examination	Series 63	08/24/1994

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
10/1993 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	BEAVER DAM, WI, 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.

Wild Card Racing, LLC

Type of business: Manage Property

Joliet, IL

Start date: 2/18/2020

Member

Hours per week: 0

Hours during trading: 0

LLC is set up to purchase shares in a garage at the Autobahn Country Club. No revenue will be derived from ownership. It simply permits usage of the garage.

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.
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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: CLIENT STATES WHEN HE PURCHASED SHARES OF CONSECO PFD 8.70% IN 2001, IR DID NOT DISCLOSE THE INVESTMENT WAS "HIGH RISK." CLIENT CLAIMS HAD HE BEEN AWARE OF THE RISKS, CLIENT WOULDN'T HAVE PURCHASED THE INVESTMENT. CLIENT ALLEGES IN DECEMBER 2001, HE WANTED TO SELL AND IR ADVISED HIM TO CONTINUE HOLDING. CLIENT STATES, IN JANUARY 2002, IR SENT HIM INFORMATION REGARDING THE COMPANY. CLIENT ALLEGES HE CONTACTED IR AGAIN IN FEBRUARY 2002, STATING HE WANTED TO SELL AND HE WAS AGAIN ADVISED BY THE IR TO CONTINUE HOLDING THE INVESTMENT. CLIENT INDICATES THE HOLDINGS IN CONSECO ARE NOW WORTH APPROXIMATELY \$167. LOSS EXCEEDS \$5,000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 11/05/2003

Complaint Pending? No

Status: Denied



Status Date: 11/19/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO OUR RECORDS, 475 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE ACCOUNT ON JUNE 6, 2001. ALTHOUGH IR STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION AT THE TIME OF PURCHASE, IR INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED THE CLIENT HAS PREVIOUSLY PURCHASED EQUITY INVESTMENTS AND, AS SUCH, IT WOULD APPEAR THE CLIENT IS AWARE OF THE RISKS OF MARKET FLUCTUATION. IR FURTHER STATED, WHEN QUESTIONED REGARDING THE DECLINE IN THE VALUE, IR WOULD HAVE MOST LIKELY ADVISED THE CLIENT TO CONTINUE HOLDING THE SHARES. HOWEVER, IR ALSO STATED, HAD HE RECEIVED INSTRUCTIONS FROM THE CLIENT TO SELL THE SHARES, IR WOULD HAVE ACTED ACCORDINGLY. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION AND SINCE THE PURCHASE THE CLIENT HAS RECEIVED STATEMENTS. BASED ON OUR REVIEW, IT IS OUR OPINION IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH OWNING THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. FURTHERMORE, IT DOES NOT APPEAR THE PURCHASE WAS OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.

Disclosure 2 of 4

Reporting Source: Broker

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

Allegations: CLIENT STATES IR PURCHASED SHARES OF "CONSECO FUND" WHEN THE INVESTMENT WAS DECLINING IN VALUE. CLIENT STATES HE NEVER RECEIVED A PROSPECTUS AND IR TOLD HIM NOTHING REGARDING THE INVESTMENT EXCEPT THAT "IT'S SUPPOSED TO BE GOOD." CLIENT CLAIMS HE ATTEMPTED TO CONTACT IR SEVERAL TIMES TO MAKE CHANGES BUT IR WAS ALWAYS IN MEETINGS. HOWEVER, CLIENT CLAIMS THAT BEFORE IR LEFT THE OFFICE, IR INFORMED THE CLIENT "EVERYTHING WOULD WORK OUT." LOSSES IN EXCEES OF \$5,000.

Product Type: Equity - OTC



Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 11/07/2003

Complaint Pending? No

Status: Denied

Status Date: 11/19/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO OUR RECORDS, 550 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE CLIENT'S ACCOUNT ON JANUARY 18, 2001. ALTHOUGH IR STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION WITH THE CLIENT AT THE TIME OF PURCHASE, IR INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED THE CLIENT HAS PREVIOUSLY PURCHASED EQUITY INVESTMENTS AND, AS SUCH, IT WOULD APPEAR THE CLIENT IS AWARE OF THE RISKS OF MARKET FLUCTUATION. IR ALSO STATED, WHEN QUESTIONED REGARDING THE DECLINE IN THE VALUE, IR WOULD HAVE MOST LIKELY ADVISED THE CLIENT TO CONTINUE HOLDING THE SHARES. HOWEVER, IR ALSO STATED, HAD HE RECEIVED INSTRUCTIONS FROM THE CLIENT TO SELL THE SHARES, IR WOULD HAVE ACTED ACCORDINGLY. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION AND SINCE THE PURCHASE THE CLIENT HAS RECEIVED STATEMENTS. BASED ON OUR REVIEW, IT IS OUR OPINION IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. FURTHERMORE, IT DOES NOT APPEAR THE PURCHASE WAS OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.

Disclosure 3 of 4

Reporting Source: Broker

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

Allegations: CLIENT STATES HE TRANSFERRED HIS ACCOUNT FROM ANOTHER FIRM



TO EDWARD JONES AND INFORMED IR THAT HE DID NOT WANT TO ASSUME ANY RISK WITH INVESTMENTS PURCHASED IN THE ACCOUNT. CLIENT ALLEGES HE PURCHASED SHARES OF CONSECO IN MAY 2002 AND THAT IR FAILED TO ADVISE HIM OF THE RISKS ASSOCIATED WITH OWNING THE STOCK. CLIENT FURTHER STATES THE STOCK HAS STEADILY DECLINED SINCE IT WAS PURCHASED AND, WHEN HE CONTACTED IR, HE WAS INFORMED HE SHOULDN'T WORRY ABOUT THE DECLINE. CLIENT DOES NOT MAKE A SPECIFIC CLAIM; HOWEVER, LOSS IS GREATER THAN \$5,000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/01/2003

Complaint Pending? No

Status: Denied

Status Date: 10/17/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO OUR RECORDS, 500 SHARES OF CONSECO PFD SEC 8.7% WERE PURCHASED IN THE ACCOUNT ON JUNE 4, 2001. ALTHOUGH IR HAS STATED HE DOES NOT RECALL THE SPECIFICS OF HIS CONVERSATION WITH THE CLIENT AT THE TIME OF PURCHASE, IR INDICATED IT IS COMMON PRACTICE FOR HIM TO DISCLOSE THE RISKS ASSOCIATED WITH INVESTMENTS. IR FURTHER INDICATED HE MOST LIKELY WOULD HAVE INFORMED THE CLIENT THE INVESTMENT WAS SPECULATIVE AND, AS SUCH, WOULD NOT SUGGEST INVESTING A SUBSTANTIAL PORTION OF CLIENT'S NET WORTH. ACCORDING TO OUR RECORDS, THE PURCHASE REPRESENTED APPROXIMATELY 4% OF THE CLIENT'S STATED NET WORTH. IT IS UNDERSTOOD THE CLIENT WAS MADE AWARE OF THE OPTIONS AVAILABLE TO HIM WHEN THE COMPANY BEGAN TO DETERIORATE AND CLIENT MADE THE DECISION TO CONTINUE HOLDING THE INVESTMENT. AT THE TIME OF THE PURCHASE, THE CLIENT RECEIVED A TRADE CONFIRMATION WHICH PROVIDED INFORMATION REGARDING THE TRANSACTION. SINCE THE PURCHASE, THE CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN CLIENT'S ACCOUNT (INCLUDING ASSET CATEGORY) AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, IT IS OUR OPINION THE IR MADE THE APPROPRIATE



DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH OWNING THE INVESTMENT AND THE PURCHASE WAS MADE WITH THE CLIENT'S AUTHORIZATION. CLAIM DENIED.

Disclosure 4 of 4

Reporting Source: Broker

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

Allegations: THE CLIENT WAS POA FOR THE ACCOUNT AT THE TIME THEY PURCHASED THE \$30,000 FNMA IN 10/93, \$20,000 ALABAMA PWR IN 9/98 AND \$65,000 RESIDENTIAL MTG IN 12/98. THE CLIENT STATES THEY WERE NOT INFORMED OF RESTRICTIONS ON WITHDRAWAL, PAYMENT AT MARKET VALUE, ESTATE REDEMPTION WAITING LIST AND LIMITED MAXIMUM BOND WITHDRAWAL AMOUNT. THE CLIENT STATES HAD THEY BEEN INFORMED OF THESE FEATURES, THEY WOULD NOT HAVE PURCHASED THE INVESTMENTS.

Product Type: Debt - Government

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/09/2000

Complaint Pending? No

Status: Denied

Status Date: 04/24/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CUSTOMER WAS ADVISED THAT MR. BOWMAN DID NOT RECALL THE SPECIFIC CONVERSATIONS HE HAD WITH THE CUSTOMER, BUT THAT IT IS AND WAS HIS PRACTICE TO EXPLAIN ALL THE RESTRICTIONS AND LIMITATIONS ON ANY ESTATE FEATURE THAT IS ATTACHED TO A BOND HE SELLS. THE EXPLANATION WOULD HAVE INCLUDED A DESCRIPTION OF THE WAITING PERIOD FOR THE ESTATE REDEMPTION FEATURE. MR. BOWMAN HAS BEEN WITH OUR FIRM A NUMBER OF YEARS AND THIS IS THE FIRST CLAIM WE HAVE RECEIVED INDICATING A CUSTOMER DID NOT UNDERSTAND THE LIMITATIONS ON THE ESTATE FEATURE. THE



CUSTOMER'S COMPLAINT WAS DENIED AND HE WAS ADVISED HE COULD EITHER APPLY FOR THE ESTATE FEATURE OR SELL THE BONDS AT THEIR CURRENT MARKET VALUE.

End of Report



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