

BrokerCheck Report

Douglas E Hill

CRD# 245735

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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.



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
- 3 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA EDWARD JONES
CRD# 250
ST. LOUIS, MO
01/2004 - 12/2017

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	5

Douglas E. Hill

CRD# 245735

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

- B EDWARD JONES
12555 MANCHESTER ROAD
ST. LOUIS, MO 63131
CRD# 250
Registered with this firm since: 12/04/1968



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 3 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 Principal	Approved	12/04/1968
B	FINRA	General Securities Representative	Approved	12/04/1968
B	NYSE American LLC	General Securities Principal	Approved	09/13/2011
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	04/27/1985
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/18/2016
B	Illinois	Agent	Approved	02/20/2003
B	Missouri	Agent	Approved	07/21/1986

Branch Office Locations

EDWARD JONES

Broker Qualifications



Employment 1 of 1, continued

12555 MANCHESTER ROAD
ST. LOUIS, MO 63131



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/02/2023
B General Securities Principal Examination	Series 00	05/18/1974

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	11/27/1968

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/23/1986

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
IA 01/2004 - 12/2017	EDWARD JONES	250	MARYLAND HEIGHTS, 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
01/1974 - Present	EDWARD D. JONES & CO., L.P.	OTHER - Principal	Y	MARYLAND HEIGHTS, 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.

"Interco Charitable Trust

Type:

Date: 12/15/16

Title: Board member

Trad Hrs: 0

Tot Hrs: 0

Desc: Attend 4 board meetings per year.

City-State: Saint Louis MO"

"Interco Charitable Trust Co.

Type:

Date: 01/01/17

Title:

Trad Hrs: 0

Tot Hrs: 0

Desc: No Responsibilities

City-State: Saint Louis MO"



Registration and Employment History

Other Business Activities, continued

"Farm house
Type: farm
Date: 01/01/15
Title: owner
Trad Hrs: 0
Tot Hrs: 0
Desc: farm owner
City-State: Clarksville MO"

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.
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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	5	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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 5

Reporting Source: Broker

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

Allegations: ALL MEMBERS OF THE EXECUTIVE COMMITTEE WERE NAMED WITH NO ALLEGATIONS OF INDIVIDUAL MISCONDUCT. PURPORTED CLASS ACTION INVOLVING MUTUAL FUND PURCHASERS ALLEGING VIOLATIONS OF SECTION 10(B) OF THE EXCHANGE ACT AND SEC RULE 10B-5, FRAUD ON THE MARKET AND VIOLATION OF SECTION 20(A) OF THE EXCHANGE ACT WITH REGARD TO REVENUE SHARING. (AMOUNT CLAIMED: UNSPECIFIED COMPENSATORY DAMAGES, COSTS, ATTORNEYS' FEES AND INTEREST)

Product Type: Other

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:



Civil Litigation Information

Court Details:	U.S. DISTRICT COURT, EASTERN DISTRICT OF MISSOURI; ST. LOUIS, MO; CASE NO: 4-04-CVO-0282DJS
Date Notice/Process Served:	03/15/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/25/2007
Monetary Compensation Amount:	\$127,500,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED AS PART OF SPAHN V. EDWARD D. JONES & CO., ET AL. (12/12/06) FINAL APPROVAL TO THE SETTLEMENT WAS GRANTED 10/25/07.

Disclosure 2 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	ALL MEMBERS OF THE EXECUTIVE COMMITTEE WERE NAMED WITH NO ALLEGATIONS OF INDIVIDUAL MISCONDUCT. PURPORTED CLASS ACTION OF MUTUAL FUND PURCHASERS ALLEGING THE VIOLATION OF SECURITIES LAWS INCLUDING 10(B) OF THE EXCHANGE ACT, RULE 10B-5, SECTION 20(A) OF THE EXCHANGE ACT AND FRAUD ON THE MARKET WITH REGARD TO REVENUE SHARING. (AMOUNT CLAIMED: UNSPECIFIED COMPENSATORY DAMAGES, COSTS, ATTORREYS' FEES AND EXPENSES)
Product Type:	Other
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	Litigation
Status Date:	

**Settlement Amount:**

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details:	U.S. DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK; NEW YORK, NEW YORK; CASE NO: 04-CV-01202
Date Notice/Process Served:	02/13/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/25/2007
Monetary Compensation Amount:	\$127,500,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED AS PART OF SPAHN V. EDWARD D. JONES & CO., ET AL. (12/12/06) FINAL APPROVAL TO THE SETTLEMENT WAS GRANTED 10/25/07.

Disclosure 3 of 5

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

Allegations:	ALL MEMBERS OF THE EXECUTIVE COMMITTEE WERE NAMED WITH NO ALLEGATIONS OF INDIVIDUAL MISCONDUCT. PURPORTED CLASS ACTION OF MUTUAL FUND PURCHASERS ALLEGING THE VIOLATION OF SECURITIES LAWS INCLUDING 10(B) OF THE EXCHANGE ACT, RULE 10B-5, SECTION 20(A) OF THE EXCHANGE ACT AND FRAUD ON THE MARKET WITH REGARD TO REVENUE SHARING. (AMOUNT CLAIMED: UNSPECIFIED COMPENSATORY DAMAGES, COSTS, ATTORNEYS' FEES AND EXPENSES.
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Product Type:	Other
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?



Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK, NEW YORK, NEW YORK; CASE NO: 04-CV-1093

Date Notice/Process Served: 01/10/2004

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/25/2007

Monetary Compensation Amount: \$127,500,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED AS PART OF SPAHN V. EDWARD D. JONES & CO., ET AL. (12/12/06)
FINAL APPROVAL TO THE SETTLEMENT WAS GRANTED 10/25/07.

Disclosure 4 of 5

Reporting Source: Broker

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

Allegations: ALL MEMBERS OF THE EXECUTIVE COMMITTEE WERE NAMED WITH NO ALLEGATIONS OF INDIVIDUAL MISCONDUCT. ALLEGED CLASS ACTION WITH CLAIMS OF VIOLATION OF 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 AND VIOLATION OF SECTION 20(A) OF THE EXCHANGE ACT IN PARTICIPATING IN REVENUE SHARING WITH MUTUAL FUND COMPANIES. (AMOUNT CLAIMED: NOT SPECIFIED BUT TO INCLUDE INTEREST, COMPENSATORY DAMAGES, COSTS, ATTORNEYUS' FEE AND EXPERT FEES)

Product Type: Other

Alleged Damages: \$0.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT COURT, EASTERN DISTRICT OF MISSOURI, ST. LOUIS, MISSOURI; CASE NO: 4:04CV00118 CAS

Date Notice/Process Served: 01/29/2004

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/25/2007

Monetary Compensation Amount: \$127,500,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED AS PART OF SPAHN V. EDWARD D. JONES & CO., ET AL. (12/12/06)
FINAL APPROVAL TO THE SETTLEMENT WAS GRANTED 10/25/07.

Disclosure 5 of 5

Reporting Source: Broker

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

Allegations: ALL MEMBERS OF THE EXECUTIVE COMMITTEE WERE NAMED WITH NO ALLEGATIONS OF INDIVIDUAL MISCONDUCT. ALLEGED CLASS ACTION WITH CLAIMS OF VIOLATION OF 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 AND VIOLATION OF SECTION 20(A) OF THE EXCHANGE ACT IN PARTICIPATING IN REVENUE SHARING WITH MUTUAL FUND COMPANIES. (AMOUNT CLAIMED: NOT SPECIFIED)



Product Type: Other

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT, EASTERN DISTRICT OF MISSOURI; ST. LOUIS, MISSOURI CASE NO: 4:04CV00086AGF

Date Notice/Process Served: 01/23/2004

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/25/2007

Monetary Compensation Amount: \$127,500,000.00

Individual Contribution Amount: \$0.00

Broker Statement

A SETTLEMENT WAS PRELIMINARILY APPROVED BY THE U. S. DISTRICT COURT EASTERN DISTRICT OF MISSOURI AND THE CIRCUIT COURT OF THE CITY OF ST. LOUIS, MISSOURI INVOLVING A CLASS OF PERSONS WHO BETWEEN JANUARY 1, 1999 AND DECEMBER 31, 2004 PURCHASED OR ACQUIRED SHARES IN THE MUTUAL FUND FAMILIES LORD ABBETT & CO., AMERICAN FUNDS, FEDERATED INVESTORS, INC., GOLDMAN SACHS GROUP, INC., HARTFORD MUTUAL FUNDS, INC., PUTNAM INVESTMENTS AND VAN KAMPEN INVESTMENTS THROUGH JONES EITHER AS BROKER OR AS LISTED AS BROKER/DEALER OF RECORD. JONES HAS PAID \$55,000,000 INTO THE SETTLEMENT FUND. FOLLOWING FINAL COURT APPROVAL THE MONEY WILL BE PAID TO PLAINTIFFS' ATTORNEYS' FOR FEES AND TO CLASS MEMBERS WHO ARE NO LONGER CUSTOMERS OF JONES. IN ADDITION, JONES WILL DISTRIBUTE



\$72,500,000 IN CREDIT VOUCHERS TO CLASS MEMBERS WHO ARE CURRENT CUSTOMERS OF JONES. (12/12/06) FINAL APPROVAL TO THE SETTLEMENT WAS GRANTED ON 10/25/07.

End of Report



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