

## BrokerCheck Report

### Dean Jonathan Landsman

CRD# 2868515

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**Dean J. Landsman**

CRD# 2868515

**Currently employed by and registered with the following Firm(s):****IA EDWARD JONES**450 CARILLON PKWY SUITE 120  
ST PETERSBURG, FL 33716  
CRD# 250

Registered with this firm since: 10/03/2006

**B EDWARD JONES**450 CARILLON PKWY SUITE 120  
ST PETERSBURG, FL 33716  
CRD# 250

Registered with this firm since: 11/09/1999

**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
- 37 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****B WITTNER SECURITIES, INC.**CRD# 45039  
BOCA RATON, FL  
12/1998 - 10/1999**B THE LEADERS GROUP, INC.**CRD# 37157  
SUMMIT, NJ  
04/1997 - 09/1999**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	1

## 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 37 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>B</b> FINRA	General Securities Representative	Approved	11/09/1999
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	07/14/2020
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/13/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	11/09/1999

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	08/02/2013
<b>B</b> California	Agent	Approved	07/17/2000
<b>B</b> Colorado	Agent	Approved	01/24/2005
<b>B</b> Connecticut	Agent	Approved	01/11/2002
<b>B</b> District of Columbia	Agent	Approved	02/01/2016
<b>B</b> Florida	Agent	Approved	11/29/1999
<b>IA</b> Florida	Investment Adviser Representative	Approved	10/03/2006
<b>B</b> Georgia	Agent	Approved	03/13/2000

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Illinois	Agent	Approved	05/10/2005
B Kansas	Agent	Approved	03/19/2024
B Louisiana	Agent	Approved	03/01/2024
B Maryland	Agent	Approved	03/08/2000
B Massachusetts	Agent	Approved	08/04/2008
B Michigan	Agent	Approved	05/20/2014
B Minnesota	Agent	Approved	08/05/2010
B Missouri	Agent	Approved	03/29/2005
B Nebraska	Agent	Approved	09/22/2003
B Nevada	Agent	Approved	10/18/2016
B New Hampshire	Agent	Approved	10/20/2022
B New Jersey	Agent	Approved	07/26/2004
B New Mexico	Agent	Approved	10/30/2012
B New York	Agent	Approved	03/20/2000
B North Carolina	Agent	Approved	04/16/2002
B North Dakota	Agent	Approved	12/16/2024
B Ohio	Agent	Approved	05/12/2025
B Oklahoma	Agent	Approved	01/02/2026
B Oregon	Agent	Approved	08/23/2012
B Pennsylvania	Agent	Approved	05/13/2004
B South Carolina	Agent	Approved	02/14/2007

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Tennessee	Agent	Approved	06/29/2006
B Texas	Agent	Approved	07/27/2011
IA Texas	Investment Adviser Representative	Approved	08/19/2014
B Utah	Agent	Approved	03/20/2017
B Vermont	Agent	Approved	05/05/2021
B Virginia	Agent	Approved	04/30/2024
B Washington	Agent	Approved	07/10/2012
B West Virginia	Agent	Approved	01/03/2007
B Wisconsin	Agent	Approved	09/14/2004
B Wyoming	Agent	Approved	03/22/2013

### Branch Office Locations

**EDWARD JONES**  
 450 CARILLON PKWY SUITE 120  
 ST PETERSBURG, FL 33716

**EDWARD JONES**  
 Tampa, FL

## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	10/03/1997

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/08/1999
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	04/12/1997

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/10/2000

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/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



### Professional Designations

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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 12/1998 - 10/1999	WITTNER SECURITIES, INC.	45039	BOCA RATON, FL
B 04/1997 - 09/1999	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ

## 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
09/1999 - Present	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	ST. LOUIS, 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.

Cannondale Properties, LLC  
 Type of business: Real Estate  
 Tampa, FL  
 Start date: 2/1/2021  
 President  
 Hours per week: 2  
 Hours during trading: 0  
 Maintain property

Kik N Sass  
 Type of business: Musician  
 Tampa, FL  
 Start date: 4/1/2021  
 Musician  
 Hours per week: 4  
 Hours during trading: 0

## Registration and Employment History



### Other Business Activities, continued

Part time musician playing at local clubs

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## 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	1	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 1

**Reporting Source:** Broker

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

**Allegations:** 10/13/08; CLIENT CLAIMS HE INSTRUCTED THE FA TO BUY SHARES OF SSO ON THE MORNING OF 10/13/08 AND CONTACTED HIM BACK AT 1:30 P.M. TO SELL IT TO MAKE A QUICK PROFIT. CLIENT CLAIMS THE FA ADVISED HIM HE WOULD NOT MAKE ANY MONEY AND HE SHOULD AT LEAST WAIT TO SELL AT THE END OF THE DAY. CLIENT CLAIMS HE GOT ANXIOUS BASED ON WHAT FA ADVISED AND DIRECTED THAT THE ORDERS TO SELL SHOULD BE PLACED RIGHT AWAY. HE LATER CALLED TO INSTRUCT TO NOT SELL AND WAIT UNTIL THE END OF THE DAY AS FA ADVISED. HE WAS ADVISED THE SELL ORDERS WERE ALREADY PLACED AND HE HAD LOST MONEY. CLIENT CLAIMS FA CONTACTED HIM AT THE END OF THE DAY AND SAID HE WAS GOING TO WASH ALL OF THESE TRADES AND HE WOULD INCUR THE LOSS. CLIENT QUESTIONED WHY HE DIDN'T MAKE ANY MONEY ON THIS OPTION FUND AND THE INCREASE OF THE MARKET ON THAT DATE AND HE BELIEVES HE SHOULD HAVE MADE APPROX. \$10,000 ON HIS INVESTMENT. HE FEELS "SLIGHTED" ON FA'S ADVICE AND VAGUE INFORMATION HE RECEIVED.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$10,000.00

## Customer Complaint Information



<b>Date Complaint Received:</b>	10/20/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/12/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	<p>CLIENT CONTACTED FA ON OCT 6TH REGARDING LIQUIDATING STOCKS &amp; MOVING MUTUAL FDS IN ACCOUNTS. FA STATED THE CHANGES WERE FACILITATED AS REQUESTED. FA INDICATED CLIENT CONTACTED HIM AGAIN REGARDING CD RATES &amp; QUESTIONED THE COMMISSIONS ON THE OCT 6TH TRADES. FA PROVIDED THE REQUESTED INFORMATION &amp; REVIEWED COMMISSION CHARGES AS WELL AS LIMITS REGARDING DISCOUNTING COMMISSIONS. HE STATED CLIENT INQUIRED INTO FORECLOSURE COMPANIES HE HAD HEARD ABOUT &amp; HE DID MAKE SOME RECOMMENDATIONS FOR SMALL QUANTITIES OF MONEY (LEAVING LONG-TERM FUNDS ALONE). ON OCT 13TH, FA INDICATED CLIENT CONTACTED HIM PRIOR TO MKT OPEN TO PURCHASE SHARES OF SSO. ACCORDING TO FA, HE NEVER RECOMMENDED THIS PARTICULAR SECURITY &amp; AT THAT TIME HAS NO REASON TO BELIEVE THIS WAS GOING TO BE A SHORT-TERM/ONE DAY TRANSACTION. ORDERS WERE PLACED AS REQUESTED AND PURCHASES EXECUTED AT PRICE OF \$33.00 PER SHARE. CLIENT LATER CALLED WANTING TO LIQUIDATE STOCK &amp; CLIENT WAS INFORMED HE WOULD NOT HAVE A GAIN. AS INSTRUCTED FA BEGAN PLACING LIQUIDATION ORDERS WHEN CLIENT CONTACTED HIS BRANCH AGAIN TO HOLD OFF. UNFORTUNATELY, ONE OF THE LIQUIDATIONS HAD ALREADY BEEN PLACED AND EXECUTED AT THE PRICE OF \$32.722. CLIENT WAS INFORMED THIS ORDER HAD ALREADY EXECUTED AND THE REMAINING ORDERS WERE CANCELLED. CLIENT RECEIVED TRADE CONFIRMATIONS. IT APPEARS FA WAS PLACING THE REQUESTED TRADES AS INSTRUCTED; HOWEVER, IT APPEARS CLIENT CONTINUED TO CALL AND CHANGE PREVIOUS INSTRUCTIONS. TRADE INSTRUCTIONS WERE ENTERED TIMELY, CONSIDERED RECEIVED IN GOOD ORDER AND EXECUTED. CLIENT REPRESENTED HIMSELF AS SERIES 7 LICENSED AND WOULD, THEREFORE, HAVE AN UNDERSTANDING REGARDING EXECUTION AND SETTLEMENT OF TRADES. IT WOULD APPEAR THE ORDERS WERE HANDLED PROPERLY. CLAIM DENIED.</p>

## End of Report



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