BrokerCheck Report

Gregory Robert Grimshaw

CRD# 3159496

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:
    - o 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
    - o 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.

Gregory R. Grimshaw

CRD# 3159496

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

IA **EDWARD JONES**
293 OLMSTED BLVD SUITE 6
PINEHURST, NC 28374
CRD# 250
Registered with this firm since: 01/19/2007

B **EDWARD JONES**
293 OLMSTED BLVD SUITE 6
PINEHURST, NC 28374-0000
CRD# 250
Registered with this firm since: 01/11/1999

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
- 32 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	2

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 32 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	01/11/1999
B	NYSE American LLC	General Securities Representative	Approved	09/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	03/08/1999

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/08/2020
B	Arizona	Agent	Approved	10/31/2002
B	California	Agent	Approved	03/15/1999
B	Colorado	Agent	Approved	09/27/2021
B	Connecticut	Agent	Approved	06/29/2009
B	Delaware	Agent	Approved	11/24/2008
B	Florida	Agent	Approved	03/16/1999
B	Georgia	Agent	Approved	03/15/1999
B	Illinois	Agent	Approved	06/29/2009

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	01/26/2009
B	Kentucky	Agent	Approved	11/10/2004
B	Maine	Agent	Approved	03/29/2024
B	Maryland	Agent	Approved	10/06/2008
B	Massachusetts	Agent	Approved	11/12/2008
B	Michigan	Agent	Approved	06/08/2007
B	Minnesota	Agent	Approved	04/06/2011
B	Missouri	Agent	Approved	08/29/2025
B	Nebraska	Agent	Approved	10/21/2022
B	New Hampshire	Agent	Approved	11/24/2010
B	New Jersey	Agent	Approved	07/19/2006
B	New York	Agent	Approved	11/19/2004
B	North Carolina	Agent	Approved	02/09/1999
IA	North Carolina	Investment Adviser Representative	Approved	01/19/2007
B	Ohio	Agent	Approved	05/07/2007
B	Oklahoma	Agent	Approved	12/11/2024
B	Pennsylvania	Agent	Approved	09/05/2001
B	South Carolina	Agent	Approved	10/06/1999
B	Tennessee	Agent	Approved	04/03/2017
B	Texas	Agent	Approved	11/16/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	08/27/2014

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	09/14/2016
B	Virginia	Agent	Approved	05/23/2024
B	West Virginia	Agent	Approved	01/08/2007
B	Wyoming	Agent	Approved	09/16/2020

Branch Office Locations

EDWARD JONES
293 OLMSTED BLVD SUITE 6
PINEHURST, NC 28374-0000

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	01/09/1999

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	12/29/2006
B	Uniform Securities Agent State Law Examination	Series 63	02/06/1999

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
11/1998 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	PINEHURST, NC, 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	2	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	BREACH OF FIDUCIARY DUTY; FAILURE OF DUTY TO ADVISE NOT TO INVEST; AND UNSUITABILITY
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	$38,300.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-00210
Date Notice/Process Served:	01/18/2011
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/08/2012
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE SUM OF $38,300.50, PRE-JUDGMENT INTEREST SPECIFICALLY DENIED.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	3/04-3/09; CLIENT STATES SHE BEGAN INVESTING WITH OUR FIRM IN MARCH 2004. CLIENT STATES FA RECOMMENDED INVESTING IN 2/3 EQUITIES AND 1/3 FIXED WHICH SHE STATES IS INAPPROPRIATE FOR A PERSON HER AGE. CLIENT STATES SHE HAS LOST ROUGHLY $100,000 AND WOULD LIKE TO BE MADE WHOLE. *****ARBITRATION: CLAIMANT ALLEGES THAT SHE TRANSFERRED HER INVESTMENTS TO EDWARD JONES FROM WACHOVIA SECURITIES IN 2004 AND THAT HER EDWARD JONES BROKER RECOMMENDED THAT SHE INVEST IN ALLEGEDLY UNSUITABLE MUTUAL FUNDS AND A VARIABLE ANNUITY. SHE ALSO CLAIMS TO HAVE INVESTED IN OTHER UNSUITABLE MUTUAL FUNDS IN 2007. (AMOUNT CLAIMED: $45,462.27 PLUS ATTORNEY FEES AND INTEREST.)
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	$100,000.00
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:	03/01/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/05/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA

Docket/Case #:	11-00210
Date Notice/Process Served:	02/04/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/08/2012
Monetary Compensation Amount:	$38,300.50
Individual Contribution Amount:	$0.00
Broker Statement	ACCORDING TO OUR RECORDS, THE ACCOUNTS WERE ESTABLISHED IN 2004. OUR RECORDS REFLECT CASH WAS TRANSFERRED INTO EACH OF THE ACCOUNTS FROM ANOTHER FIRM. THE CASH DEPOSITED TO BOTH ACCOUNTS WAS UTILIZED TO PURCHASE A BLEND OF MUTUAL FUNDS IN APRIL 2004. THE FA HAS INDICATED HIS CONVERSATIONS WITH THE CLIENT REGARDING THE MUTUAL FUNDS INCLUDED THE RISKS OF MARKET FLUCTUATION. AT THE TIME OF THE AFOREMENTIONED PURCHASES, YOU WOULD HAVE RECEIVED CONFIRMATIONS AS WELL AS THE APPROPRIATE MUTUAL FUNDS PROSPECTUSES. IN ADDITION, ALL ACTIVITY HAS BEEN REFLECTED ON ACCOUNT STATEMENTS. FURTHER, IT DOES NOT APPEAR ANY OF THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNTS ARE OUTSIDE THE SCOPE OF THE OBJECTIVES. WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT RELATED TO THE DECLINE IN THE VALUE OF THE ACCOUNTS DURING THE TIME PERIOD SPECIFIED (EARLY 2008 THROUGH MARCH 2009). UNFORTUNATELY, WE EXPERIENCED A PERIOD OF UNPRECEDENTED MARKET CONDITIONS WHICH HAD A SIGNIFICANT IMPACT ON VALUATIONS. IN ADDITION, THE CLIENT HAS CONSISTENTLY TAKEN WITHDRAWALS FROM THE ACCOUNTS. THE FA HAS INDICATED HE AND THE CLIENT DISCUSSED THE CLIENTS CONCERNS RELATED TO THE MARKET DECLINE AND HE ENCOURAGED HER TO REMAIN INVESTED. OUR RECORDS REFLECT BOTH ACCOUNTS WERE TRANSFERRED TO ANOTHER FIRM IN MARCH 2009. BASED ON OUR REVIEW, IT IS OUR OPINION THE TRANSACTIONS EFFECTED IN THE ACCOUNT WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION. IN ADDITION, IT WOULD SEEM IF THERE WERE ANY ISSUES WITH THE ACCOUNTS, WE WOULD HAVE BEEN CONTACTED IN A MORE TIMELY MANNER. THEREFORE, WE ARE RESPECTFULLY DENYING THE CLIENT'S REQUEST FOR A REIMBURSEMENT OF LOSSES (REALIZED AND/OR UNREALIZED) INCURRED. ARBITRATION RESOLUTION: PANEL AWARDED DAMAGES OF $38,300.50, DISMISSED CLAIM AS TO LOSSES ON LINCOLN NATIONAL ANNUITY, DENIED REQUEST FOR ATTORNEY FEES

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:	FROM 4/1/2011 TO 4/23/2012 CLIENT STATES SHE RECEIVED 14,400 SHARES OF IBM FROM HER FATHER WHO HAD PASSED AWAY IN JANUARY, 2011. CLIENT INDICATES THEY WERE RELUCTANT TO MAKE ANY CHANGES TO THE PORTFOLIO. THE FINANCIAL ADVISOR ADVISED TO INVEST IBM IN TWO DIFFERENT FUND COMPANIES, MFS AND AMERICAN, WHICH HE CLAIMED WOULD PROVIDE BETTER INCOME AND APPRECIATION AND AT NO COST. CLIENT STATES IBM IS UP 22% SINCE SHE SOLD THE STOCK AND FINANCIAL ADVISOR DID NOT INFORM HER OF THE 1% LIQUIDATION CHARGE FOR SELLING OUT OF AMERICAN AND MFS. CLIENT IS SEEKING THE RETURN OF HER IBM STOCK.
Product Type:	No Product
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES TO BE IN EXCESS OF $5000.00
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:	04/24/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/10/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement

AS DISCUSSED WITH CLIENT ON THE TELEPHONE, THE IBM STOCK TRANSACTIONS TOOK PLACE ON APRIL 14, 2011, AND WE BELIEVE THE TRANSACTIONS WERE AUTHORIZED. AS SUCH, WE WILL NOT BE OFFERING TO MAKE AN ADJUSTMENT TO THE IBM TRANSACTIONS THAT TOOK PLACE OVER ONE YEAR AGO. ACCORDING TO THE FINANCIAL ADVISOR, AMERICAN FUNDS AND MFS FUNDS WERE DISCUSSED AND THE ONE-MILLION DOLLAR BREAKPOINT WAS REACHED FOR EACH FUND COMPANY. FINANCIAL ADVISOR HAS STATED HE REVIEWED THAT MUTUAL FUNDS ARE INTENDED TO BE HELD LONG-TERM AND HE DISCUSSED THE CDSC FOR LIQUIDATING THE MUTUAL FUNDS. IN ADDITION, CLIENT WAS NOTIFIED ON THE TRADE
CONFIRMATIONS THAT THERE MAY BE A SALES CHARGE WHEN SELLING THE MUTUAL FUNDS AND THE CDSC WAS ALSO DISCLOSED IN THE PROSPECTUSES. IT IS OUR UNDERSTANDING THERE WAS A MISUNDERSTANDING ON THE LENGTH OF TIME THE CDSC WAS APPLICABLE WITH MFS AND ALSO WITH FRANKLIN FUNDS (WHERE CLIENT ADDED $200,000.00 TO THE MINNESOTA TAX-FREE FUND). PURSUANT TO MY TELEPHONE CONVERSATION ON JUNE 6, 2012 WITH THE CLIENT, A SETTLEMENT OFFER WAS EXTENDED TO REIMBURSE THE CDSC ASSOCIATED WITH THE MFS MONEY MARKET FUND AND FRANKLIN MN TAX FREE FUND, IF THE SHARES (SUBJECT TO THE CDSC) ARE SOLD. THE FIRM RESOLVED THIS MATTER AT NO COST TO THE CLIENT.

End of Report

This page is intentionally left blank.