

## BrokerCheck Report

**James Zebedee Burgess Jr**

CRD# 4131086

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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).



## James Z. Burgess Jr

CRD# 4131086

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

**IA EDWARD JONES**  
2004 COMMERCE DR N SUITE 215  
PEACHTREE CITY, GA 30269  
CRD# 250  
Registered with this firm since: 02/16/2007

**B EDWARD JONES**  
2004 COMMERCE DR N SUITE 215  
PEACHTREE CITY, GA 30269-3559  
CRD# 250  
Registered with this firm since: 04/04/2000

## 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
- 50 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 50 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	04/04/2000
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	05/30/2000

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/05/2004
B	Alaska	Agent	Approved	08/03/2023
B	Arizona	Agent	Approved	06/11/2001
B	Arkansas	Agent	Approved	09/24/2003
B	California	Agent	Approved	08/11/2008
B	Colorado	Agent	Approved	01/13/2014
B	Connecticut	Agent	Approved	10/23/2013
B	Delaware	Agent	Approved	09/26/2011
B	District of Columbia	Agent	Approved	09/30/2015

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/04/2002
B	Georgia	Agent	Approved	04/24/2000
IA	Georgia	Investment Adviser Representative	Approved	02/16/2007
B	Hawaii	Agent	Approved	12/11/2019
B	Illinois	Agent	Approved	03/10/2011
B	Indiana	Agent	Approved	05/22/2007
B	Iowa	Agent	Approved	09/16/2019
B	Kansas	Agent	Approved	12/02/2020
B	Kentucky	Agent	Approved	06/13/2016
B	Louisiana	Agent	Approved	02/16/2012
B	Maine	Agent	Approved	08/14/2007
B	Maryland	Agent	Approved	10/05/2010
B	Massachusetts	Agent	Approved	04/07/2003
B	Michigan	Agent	Approved	04/04/2005
B	Minnesota	Agent	Approved	02/28/2014
B	Mississippi	Agent	Approved	08/03/2023
B	Missouri	Agent	Approved	04/11/2005
B	Montana	Agent	Approved	05/09/2018
B	Nebraska	Agent	Approved	02/18/2014
B	Nevada	Agent	Approved	07/17/2017
B	New Hampshire	Agent	Approved	06/28/2005

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	12/02/2011
B	New Mexico	Agent	Approved	11/05/2020
B	New York	Agent	Approved	01/09/2003
B	North Carolina	Agent	Approved	06/01/2000
B	North Dakota	Agent	Approved	08/03/2023
B	Ohio	Agent	Approved	10/01/2010
B	Oklahoma	Agent	Approved	08/03/2023
B	Oregon	Agent	Approved	10/05/2010
B	Pennsylvania	Agent	Approved	07/22/2011
B	Rhode Island	Agent	Approved	08/03/2023
B	South Carolina	Agent	Approved	09/13/2004
B	South Dakota	Agent	Approved	08/03/2023
B	Tennessee	Agent	Approved	06/02/2000
B	Texas	Agent	Approved	04/01/2005
IA	Texas	Investment Adviser Representative	Restricted Approval	12/06/2018
B	Utah	Agent	Approved	06/01/2000
B	Vermont	Agent	Approved	12/11/2023
B	Virginia	Agent	Approved	06/09/2004
B	Washington	Agent	Approved	02/07/2001
B	West Virginia	Agent	Approved	10/19/2018
B	Wisconsin	Agent	Approved	04/27/2018

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
B	Wyoming	Agent	Approved	08/03/2023

Branch Office Locations

EDWARD JONES  
2004 COMMERCE DR N SUITE 215  
PEACHTREE CITY, GA 30269-3559

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## 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/03/2000

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	02/12/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/07/2000

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 **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** 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
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
01/2000 - 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.

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.
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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	2	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 2

**Reporting Source:** Broker

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

**Allegations:** THE CLIENTS CLAIM THAT IN JANUARY 2011 THE FINANCIAL ADVISOR ADVISED THAT THE CLIENTS PURCHASE \$7,000 WORTH OF CHINA BIOTICS STOCK AND IN MARCH 2011 ADVISED THE CLIENTS TO PURCHASE \$9,750 WORTH OF APOLLO INVESTMENTS. THE CLIENTS CLAIM BY DECEMBER 2011 BOTH INVESTMENTS HAD BEEN SOLD AT A LOSS OF \$7,000.00 PLUS THEY HAD PAID \$2,370.00 IN COMMISSION. THE CLIENTS STATE THEY KNOW THE MARKET CAN BE VOLATILE, HOWEVER, CLAIM THEY WERE NOT COUNSELED ON THE RISKY NATURE OF THE INVESTMENTS. THE CLIENTS CLAIM THEY WERE NOT ADVISED THAT THESE INVESTMENTS WERE TO BE HELD FOR THE SHORT TERM AND WERE NOT MADE AWARE OF THE AMOUNT OF MOVEMENT THE INVESTMENTS WOULD EXPERIENCE. THE CLIENTS STATE THEY BELIEVE THEIR INVESTMENTS SHOULD HAVE BEEN UP IN VALUE BY DOUBLE DIGITS IF HANDLED PROPERLY. THE CLIENTS HAVE MOVED THEIR ACCOUNTS TO A NEW FINANCIAL ADVISOR AND REQUEST A REVIEW OF THE ACCOUNTS. THE CLIENTS WANT TO KNOW IF THERE IS A PROCEDURE BY WHICH THEY COULD RECOVER SOME OF THEIR LOSSES.

**Product Type:** Equity-OTC

**Alleged Damages:** \$9,370.00



**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:** 07/16/2012

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/24/2012

**Settlement Amount:** \$0.00

**Individual Contribution  
Amount:** \$0.00

### Broker Statement

THE FINANCIAL ADVISOR WAS CONTACTED AND RELEVANT ACCOUNT DOCUMENTATION HAS BEEN REVIEWED. THE FINANCIAL ADVISOR RECOMMENDED THE PURCHASE OF CHINA BIOTICS INC. SHARES IN JANUARY 2011 TO ADD TO THE GROWTH PORTION OF THE PORTFOLIO. IN MARCH 2011 SHARES OF APOLLO INVESTMENT CORP. WERE PURCHASED. AT THAT TIME THE CLIENTS HAD INDICATED INTEREST IN GENERATING ADDITIONAL INCOME FROM THE DIVIDENDS. WHEN DISCUSSING THESE INVESTMENTS THE FINANCIAL ADVISOR DISCUSSED THE DETAILS OF THE INVESTMENTS TO INCLUDE RISKS AND MARKET FLUCTUATION. THESE INVESTMENTS WERE TO BE HELD FOR THE LONG TERM AND WERE NOT INTENDED TO BE SHORT TERM INVESTMENTS AS STATED BY THE CLIENTS. IN JUNE 2011 IT WAS AGREED THE CHINA BIOTICS INC. SHARES WOULD BE LIQUIDATED. IN DECEMBER 2011 THE SHARES OF APOLLO INVESTMENT CORP. WERE ALSO LIQUIDATED. OUR RECORDS REFLECT THE COMMISSIONS FOR THE PURCHASE AND SALE OF APOLLO INVESTMENT CORP. WERE DISCOUNTED BY 40% AND 30% RESPECTIVELY. OUR RECORDS INDICATE BOTH INVESTMENTS UNDERPERFORMED DURING THE TIME THE SHARES WERE HELD. THE PERFORMANCE OF THESE INVESTMENTS WAS NOT GUARANTEED AND THE CLIENTS WOULD HAVE BEEN AWARE THE INVESTMENTS WOULD BE SUBJECT TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. THE CLIENTS STATED THEY BELIEVED THEIR INVESTMENTS WOULD BE UP IN VALUE BY DOUBLE DIGITS HAD THEIR ACCOUNTS BEEN HANDLED PROPERLY. IT WAS EXPLAINED THAT EACH INVESTMENT IN IS SUBJECT TO MARKET FLUCTUATION. THIS FLUCTUATION WILL PROPORTIONATELY AFFECT THE



VALUE OF THE OVERALL PERFORMANCE OF THE PORTFOLIO. OUR REVIEW DOES NOT REFLECT THE ACCOUNTS HAVE BEEN HANDLED IMPROPERLY. BASED ON OUR REVIEW THERE WILL BE NO ADJUSTMENT MADE TO THE ACCOUNT.

## Disclosure 2 of 2

**Reporting Source:** Broker

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

**Allegations:** 3/08-9/08; CLIENT'S DAUGHTER HAS MADE VARIOUS ALLEGATIONS OF UNAUTHORIZED TRADES AND HAS INDICATED CHECKS WERE ISSUED AND FUNDS WERE WIRED FROM HER FATHER'S ACCOUNT WITHOUT HIS KNOWLEDGE. DAUGHTER ALLEGES THE FA COLLUDED WITH HER BROTHER TO EXPLOIT HER FATHER AND EXHAUST HER FATHER'S FUNDS. DAUGHTER CLAIMS PRIOR TO THE FA ASSUMING RESPONSIBILITY FOR HER FATHER'S ACCOUNT, IT WAS VALUED AT APPROXIMATELY \$66,493.00 AND NOW HER FATHER HAS NOTHING LEFT.

**Product Type:** Mutual Fund

**Alleged Damages:** \$66,493.00

**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:** 11/24/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/08/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE DAUGHTER IS NOT A REGISTERED ACCOUNT OWNER OR AN AUTHORIZED INDIVIDUAL, THEREFORE WE ARE RESPONDING TO THE



CLIENT DIRECTLY. OUR RECORDS REFLECT THE CLIENT SIGNED A LETTER OF AUTHORIZATION FOR PERIODIC WITHDRAWAL OF FUNDS (LOA) ON OR ABOUT 02/21/07 AT WHICH TIME HE REQUESTED THAT \$150 PER MONTH BE WITHDRAWN FROM THE ACCOUNT AND SENT TO WACHOVIA (VIA ACH). SUBSEQUENTLY, THE CLIENT SIGNED VARIOUS LOAS - COPIES OF WHICH HAVE BEEN PROVIDED TO THE CLIENT. A CHECK IN THE AMOUNT OF \$4,000.00 WAS ISSUED FROM THE SINGLE REGISTRATION ACCOUNT ON 05/05/08 AND PAID ON 05/12/08. THE CHECK WAS MADE PAYABLE TO [FAMILY MEMBER] AND WAS MAILED TO THE ADDRESS OF RECORD. ON 05/23/08, FUNDS IN THE AMOUNT OF \$17,000.00 WERE WIRED FROM THE ACCOUNT TO WACHOVIA. ON 09/16/08, FUNDS IN THE AMOUNT OF \$2,680.86 WERE WIRED FROM THE ACCOUNT; HOWEVER THIS WIRE WAS REVERSED AND THE FUNDS WERE RECEIVED BACK INTO THE ACCOUNT ON 09/17/08. ALSO ON 09/17/08, FUNDS IN THE AMOUNT OF \$2,665.86 WERE WIRED TO WACHOVIA. OUR RECORDS REFLECT \$12,000.00 WAS WIRED FROM THE IRA ACCOUNT ON 09/22/08 TO WACHOVIA. ALL ACCOUNT ACTIVITY HAS BEEN REFLECTED ON THE STATEMENTS THE CLIENT HAS RECEIVED FROM THE FIRM. IN ADDITION, THE REQUIRED TRADE CONFIRMATIONS DETAILING THE TRANSACTIONS WOULD HAVE BEEN SENT TO THE CLIENT. FURTHER, THE DISTRIBUTION(S) FROM THE IRA ACCOUNT WERE REFLECTED ON THE 2008 FORM 1099R ISSUED BY EDWARD JONES. BASED ON OUR REVIEW, THE TRANSACTIONS WERE EVIDENCED THROUGH TRADE CONFIRMATIONS, LOAS AND ACCOUNT STATEMENTS AS WELL AS THROUGH TAX REPORTING. THEREFORE, IT WOULD SEEM HAD THE ACTIVITY BEEN COMPLETED WITHOUT THE CLIENT'S AUTHORIZATION, WE WOULD HAVE BEEN CONTACTED IN A MORE TIMELY MANNER. AT THIS TIME, WE WOULD RESPECTFULLY DENY ANY REQUEST FOR COMPENSATION RELATED TO THIS MATTER.

## End of Report



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