

**BrokerCheck Report**  
**Jarett Chance Adair**  
 CRD# 5077551

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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).

**Jarett C. Adair**

CRD# 5077551

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

**IA EDWARD JONES**  
 2604 LONG PRAIRIE RD SUITE 200  
 Flower Mound, TX 75022  
 CRD# 250  
 Registered with this firm since: 01/21/2021

**B EDWARD JONES**  
 2604 LONG PRAIRIE RD SUITE 200  
 Flower Mound, TX 75022  
 CRD# 250  
 Registered with this firm since: 01/20/2021

## 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
- 14 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

**IA ADVICE AND PLANNING SERVICES**

CRD# 20472  
 NEW YORK, NY  
 10/2013 - 11/2020

**B TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC**

CRD# 20472  
 LEWISVILLE, TX  
 10/2013 - 11/2020

**B FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.**

CRD# 17507  
 WESTLAKE, TX  
 06/2007 - 12/2011

### 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
Criminal	3
Customer Dispute	1
Termination	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 14 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	01/20/2021
B	NYSE American LLC	General Securities Representative	Approved	01/20/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	01/20/2021
B	New York Stock Exchange	General Securities Representative	Approved	01/20/2021

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/26/2021
B	Arkansas	Agent	Approved	01/21/2021
B	Colorado	Agent	Approved	05/31/2024
B	District of Columbia	Agent	Approved	07/06/2023
B	Florida	Agent	Approved	05/31/2022
B	Louisiana	Agent	Approved	08/20/2024
B	Maryland	Agent	Approved	02/01/2024
B	Massachusetts	Agent	Approved	10/23/2024
B	Missouri	Agent	Approved	08/20/2024

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	01/21/2021
B	New York	Agent	Approved	11/17/2021
B	Oklahoma	Agent	Approved	01/25/2021
B	Texas	Agent	Approved	01/20/2021
IA	Texas	Investment Adviser Representative	Approved	01/21/2021
B	West Virginia	Agent	Approved	06/27/2022

### Branch Office Locations

#### EDWARD JONES

2604 LONG PRAIRIE RD SUITE 200  
Flower Mound, TX 75022

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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 1 state securities law exam.**

### 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	04/05/2006

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/12/2006

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 **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
<b>IA</b> 10/2013 - 11/2020	ADVICE AND PLANNING SERVICES	20472	LEWISVILLE, TX
<b>B</b> 10/2013 - 11/2020	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	LEWISVILLE, TX
<b>B</b> 06/2007 - 12/2011	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	17507	WESTLAKE, TX
<b>IA</b> 09/2006 - 05/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	DALLAS, TX
<b>B</b> 04/2006 - 05/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DALLAS, TX

### 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
01/2021 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States
09/2013 - 11/2020	TIAA	WEALTH MANAGEMENT ADVISOR	Y	LEWISVILLE, TX, United States
09/2013 - 11/2020	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LEWISVILLE, TX, 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.



# Registration and Employment History

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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:**
  - 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
Criminal	0	3	0
Customer Dispute	0	1	N/A
Termination	N/A	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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	County
<b>Name of Court:</b>	Lubbock
<b>Location of Court:</b>	Lubbock, TX
<b>Docket/Case #:</b>	2002-482-021
<b>Charge Date:</b>	11/09/2002
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Theft < \$200 THIS WAS AN ERRONEOUS CHARGE THAT RESULTED IN A DISMISSAL OF THE CHARGES WHEN CASE WENT TO COURT.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Pled not guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/12/2003
<b>Disposition Date:</b>	05/12/2003



<b>Sentence/Penalty:</b>	Charges were dropped and all fees and penalties have been completed. None were required.
<b>Broker Statement</b>	THIS WAS AN ERRONEOUS CHARGE THAT RESULTED IN A DISMISSAL OF THE CHARGES WHEN CASE WENT TO COURT.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	STATE OF TEXAS, COUNTY CRIMINAL COURT OF DENTON COURT CASE NO. CR-2001-08752-2
<b>Charge Date:</b>	08/16/2002
<b>Charge Details:</b>	1.1 COUNT 2.CHARGE 1.MISDEMEANOR 3. NOLO CONTENDRE 4. NA (NOT INVESTMENT RELATED)
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/16/2002
<b>Disposition Details:</b>	A.DEFERRED ADJUDICATION B. 08/16/2002 C. MISDEMEANOR COMMUNITY SUPERVISION. D. 180 DAYS E. 08/16/2002 F. 134.00, COURT FINES AND COSTS OF \$400.00, APPLY CASH BOND TO \$100.00 IN RESTITUTION. G. 08/16/2002
<b>Broker Statement</b>	THIS WAS A CHECK THAT WAS WRITTEN RIGHT BEFORE I LEFT DENTON IN AUGUST OF 2001. I WROTE THIS CHECK THINKING IT HAD CLEARED BECAUSE I CHANGED BANKS WHEN I MOVED TO LUBBOCK. IT WAS FOR GROCERIES AND THE TOTAL WAS \$20.85 TO WINN DIXIE. I LATER FOUND OUT ABOUT THE MISTAKE AND TOOK FULL RESPONSIBILITY, AND THEN CONTACTED THE DA TO PAY THE AMOUNT AND ALL FINES.



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**Disclosure 3 of 3**

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	STATE OF TEXAS, COUNTY CRIMINAL COURT OF DENTON CASE# CR-98-08570-B
<b>Charge Date:</b>	12/08/1998
<b>Charge Details:</b>	1. 1 COUNT 2. CHARGE WAS 1 MISDEMEANOR 3. GUILTY 4. NA (NOT INVESTMENT RELATED)
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	07/09/1999
<b>Disposition Details:</b>	A. CONVICTED B. 07/09/1999 C. NONE D. NONE E. NONE F. NONE G. NONE
<b>Broker Statement</b>	THIS WAS A MISTAKE ON MY BEHALF THAT I MADE MY IN MY SOPHMORE YEAR OF COLLEGE WHEN I WAS 19. THE CHECK WAS FOR \$30 TO ALBERTSON'S. I THOUGHT I HAD A LITTLE OVER \$30 DOLLARS IN MY ACCOUNT, SO I WROTE IT FOR \$30 AND PAID FOR THE REST OF THE GROCERIES WITH WHAT CASH I HAD. THE NOTICES FOR THE BAD CHECKS FROM THE STORE WERE SENT TO MY OLD ADDRESS, BUT I HAD MOVED AND MISSED ALL MAIL SENT TO MY OLD DORM. I REALIZED MY MISTAKE AND PERSONALLY WENT TO THE DA OFFICE TO PAY THE AMOUNT AND ALL FINES.





## 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:** Firm

**Employing firm when activities occurred which led to the complaint:** TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

**Allegations:** Client alleges the representative didn't make him aware of the tax implications of selling securities and as a result had pay to a large capital gains tax.

**Product Type:** Other: Managed Account

**Alleged Damages:** \$5,000.00

**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:** 05/10/2021

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 08/12/2021

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

**Allegations:** Client alleges the representative didn't make him aware of the tax implications of selling securities and as a result had to pay a large capital gains tax.



**Product Type:** Other: Managed Account

**Alleged Damages:** \$5,000.00

**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:** 05/10/2021

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 08/12/2021

**Settlement Amount:**

**Individual Contribution  
Amount:**





## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employer Name:** FIDELITY INVESTMENTS

**Termination Type:** Discharged

**Termination Date:** 11/16/2011

**Allegations:** FIRM ALLEGED THAT EMPLOYEE VIOLATED DEPARTMENT PROCEDURES BY RECORDING A CUSTOMER INTERACTION WITHOUT ACTUALLY HAVING HAD THE REQUISITE DEGREE OF INTERACTION WITH THE ADVISOR.

**Product Type:** No Product

**Reporting Source:** Broker

**Employer Name:** FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.

**Termination Type:** Discharged

**Termination Date:** 11/16/2011

**Allegations:** FIRM ALLEGED THAT I VIOLATED DEPARTMENT PROCEDURES BY RECORDING A CUSTOMER INTERACTION WITHOUT ACTUALLY HAVING HAD THE REQUISITE DEGREE OF INTERACTION WITH THE ADVISOR.

**Product Type:** No Product

**Broker Statement** I HAD AN INTERACTION WITH A REGISTERED CLIENT ASSOCIATE ON AN INBOUND LINE. I RECORDED THE INTERACTION. LATER, I CALLED THE ADVISOR BACK AND HAD A SUBSEQUENT INTERACTION. I CODED IT AS AN OUTBOUND CALL AND CHANGED BOTH INTERACTIONS TO JUST MAKE ONE ENTRY. I THOUGHT IT WAS THE APPROPRIATE ACTION INSTEAD OF ADDING AN ADDITIONAL INTERACTION AND INFLATING MY ACTIVITY STATISTICS.

## End of Report



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