

BrokerCheck Report

Tyler Preston Swaffar

CRD# 5377900

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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:
 - 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.



Tyler P. Swaffar

CRD# 5377900

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

IA

EDWARD JONES

3929 E 7TH STREET SUITE D

JOPLIN, MO 64801

CRD# 250

Registered with this firm since: 10/09/2007

B

EDWARD JONES

3929 E 7TH STREET SUITE D

JOPLIN, MO 64801

CRD# 250

Registered with this firm since: 08/27/2007

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
- 17 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):

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	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 17 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	08/27/2007
B	NYSE American LLC	General Securities Representative	Approved	09/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	08/27/2007
B	New York Stock Exchange	General Securities Representative	Approved	10/29/2007

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/13/2021
B	Arizona	Agent	Approved	06/15/2021
B	Arkansas	Agent	Approved	09/13/2007
B	California	Agent	Approved	05/30/2008
B	Colorado	Agent	Approved	10/16/2013
B	Florida	Agent	Approved	05/17/2012
B	Kansas	Agent	Approved	01/18/2008
B	Kentucky	Agent	Approved	08/28/2019
B	Missouri	Agent	Approved	09/14/2007



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	04/25/2011
B	Nevada	Agent	Approved	10/08/2010
B	New Mexico	Agent	Approved	12/18/2020
B	Oklahoma	Agent	Approved	01/18/2008
B	Texas	Agent	Approved	11/03/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	12/17/2018
B	Utah	Agent	Approved	08/01/2017
B	Virginia	Agent	Approved	03/30/2015
B	Washington	Agent	Approved	12/09/2020
B	Wisconsin	Agent	Approved	08/08/2011

Branch Office Locations

EDWARD JONES
 3929 E 7TH STREET SUITE D
 JOPLIN, MO 64801



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/23/2007

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/07/2007

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
07/2007 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	SAINT 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.

MSSU Robert W Plaster School of Business Advisory Board
Joplin, MO

Start date: 11/1/2013

Board Member

Hours per week: 0

Hours during trading: 0

Serve on the MSSU Robert W. Plaster School of Business Advisory Board by attending 2 meetings per year.

Rental property

Carthage, MO

Start date: 7/1/2013

Owner/Landlord

Hours per week: 1

Hours during trading: 0

Manage, maintain and repair property.

God's Resort



Registration and Employment History

Other Business Activities, continued

Joplin, MO

Start date: 1/1/2019

President

Hours per week: 0

Hours during trading: 0

Serve as President of the board of God's Resort

Self - Tyler & Rosie Swaffar

Type of business: Rental Property

Carthage, MO

Start date: 7/1/2013

Owner/Landlord

Hours per week: 0

Hours during trading: 0

Manage, maintain and repair property.

The Cabin at Wildwood

Type of business: Nightly rental

Shell Knob, MO

Start date: 5/6/2019

Owner/Landlord

Hours per week: 2

Hours during trading: 0

Manage, maintain and repair

Table Rock A-framed Hideaway

Type of business: Nightly rental

Shell Knob, MO

Start date: 8/7/2023

Operator

Hours per week: 0

Hours during trading: 0

Property maintenance

Table Rock A-framed Hideaway

Type of business: Nightly rental

Shell Knob, MO

Start date: 8/7/2023

Operator

Hours per week: 0

Hours during trading: 0

market & manage

Registration and Employment History



Other Business Activities, continued

Table Rock Lake Sans Souci Oasis

Type of business: Nightly rental

Shell Knob, MO

Start date: 7/1/2023

Owner/Operator

Hours per week: 2

Hours during trading: 0

maintain, repair and manage

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 - 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 1

Reporting Source: Broker

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

Allegations: 04/01/09-04/01/10: THE CLIENTS CLAIM THEY MET WITH THE FA IN EARLY 2009 TO DISCUSS MOVING THEIR ASSETS TO EDWARD JONES. THE CLIENT CLAIMS THEY BEGAN THE PROCESS AND LEARNED THEY COULD NOT TRANSFER THEIR JACKSON NATIONAL ANNUITY TO EDWARD JONES. THE CLIENTS STATE THEY CONTACTED THE FA TO FIND OUT HOW TO HANDLE THE ISSUE. THE CLIENTS STATE THE FA ADVISED THEM TO HAVE THE AMOUNT LIQUIDATED AND SENT TO THEM (\$13,058.63). THE CLIENT CLAIM THEY DID AND HAD THE MONEY REINVESTED AT EDWARD JONES. CLIENTS CLAIM WHEN THEY MET WITH THEIR CPA TO DO THEIR TAXES THIS YEAR THEY LEARNED THEY OWNED \$7,771.00 DUE TO THE LIQUIDATION OF THE ANNUITY. THE CLIENT FEELS THEY SHOULD HAVE BEEN ADVISED NOT TO TRANSFER IRA MONEY AND TO LEAVE IT AT THEIR PREVIOUS FIRM SO THEY WOULD NOT HAVE INCURRED THE \$7,7710.00 PENALTY. CLIENT FEELS THEY SUFFERED FROM THIS FINANCIAL ERROR.

Product Type: Annuity-Variable

Alleged Damages: \$7,771.00

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: 06/22/2010

Complaint Pending? No

Status: Settled

Status Date: 08/09/2010

Settlement Amount: \$4,354.00

Individual Contribution Amount: \$500.00

Broker Statement

ACCORDING TO THE FA HE REVIEWED THE CLIENTS' STATEMENTS DURING A MEETING HE HAD WITH THEM IN EARLY 2009. THE FA STATES HE DISCOVERED THE JACKSON NATIONAL ANNUITY ON ONE OF THE STATEMENTS. THE FA CLAIMS HE HAD THE CLIENT CALL AND GET DETAILS ON THE ANNUITY TO FIND OUT IF IT MADE SENSE TO LIQUIDATE OR MOVE THE ANNUITY. THE FA STATES HE DID UNDERSTAND IT WAS IN AN IRA AND QUALIFIED MONEY. ACCORDING TO THE FA THE CLIENT WAS NOT ABLE TO TRANSFER THE ANNUITY, SO THE FA SUGGESTED THEY LIQUIDATE IT AND BRING THE PROCEEDS INTO EDWARD JONES TO BE DEPOSITED INTO AN IRA ACCOUNT AND BE REINVESTED. THE CLIENT AGREED AND LIQUIDATED THE ANNUITY. THE FA CLAIMS HE FAILED TO OPEN AN IRA ACCOUNT BEFORE THE CLIENT BROUGHT THE PROCEEDS TO THE BRANCH. WHEN THE CLIENT BROUGHT IN THE PROCEEDS FROM THE QUALIFIED ANNUITY, THEY WERE DEPOSITED INTO THE CLIENTS' TRUST ACCOUNT. THE FA CLAIMS HE DID NOT CATCH IT AND AS A RESULT, THE CLIENTS' PROCEEDS WERE CONSIDERED A DISTRIBUTION, RESULTING IN A TAX LIABILITY. THE CLIENT CLAIMS THEY HAD TO PAY 60% TAXES ON THE DISTRIBUTION. ACCORDING TO THE FA THE CLIENT ALSO HAD A LARGE GAIN ON LAND THEY SOLD WHICH RESULTED IN A PORTION OF THEIR TAX LIABILITY. THE FA ALSO CLAIMS HE HAD OBTAINED VERY ACCURATE INCOME INFORMATION DURING HIS KYC WITH THE CLIENT AND DETERMINED THEY WERE IN APPROXIMATELY THE 12% TAX BRACKET, AS A RETIRED COUPLE. BASED ON THIS INFORMATION, WE OFFERED THE CLIENT \$1,567.00 TO REIMBURSE THEM AT A RATE OF 12% FOR THEIR TAX LIABILITY. A SETTLEMENT OF CLAIM WAS SENT ON 6/28/10. THE CLIENT HAS 30 DAYS TO RETURN THE OFFER, OTHERWISE IT WILL BE WITHDRAWN. CLIENT SUBMITTED A LETTER FROM CPA STATING THIS RESULTED IN ADDITIONAL TAXES TOTALING \$4,354.00 (FEDERAL AND STATED). A NEW SETTLEMENT OF CLAIM WAS SENT ON 7/27/10. THE CLIENT HAS 20 DAYS TO RETURN THE OFFER. RECEIVED SIGNED AND NOTARIZED SETTLEMENT OF CLAIM, CHECK WAS ISSUED 8/9/10.

End of Report



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