

BrokerCheck Report

William Owen Edwards

CRD# 722560

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8
Disclosure Events	9



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



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.

William O. Edwards

CRD# 722560

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

IA EDWARD JONES

631 S ROOSEVELT ST STE B
ABERDEEN, SD 57401
CRD# 250
Registered with this firm since: 11/18/1988

B EDWARD JONES

631 S ROOSEVELT ST STE B
ABERDEEN, SD 57401
CRD# 250
Registered with this firm since: 01/19/1981

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
- 15 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
Regulatory Event	1
Customer Dispute	8

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 15 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	01/19/1981
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	02/20/1981

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	11/10/2025
B Arizona	Agent	Approved	03/23/1984
B California	Agent	Approved	03/28/1984
B Colorado	Agent	Approved	09/04/2018
B Illinois	Agent	Approved	08/05/2024
B Indiana	Agent	Approved	03/06/2024
B Iowa	Agent	Approved	05/29/2025
B Kansas	Agent	Approved	10/17/2023
B Michigan	Agent	Approved	03/26/1987

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Minnesota	Agent	Approved	09/14/1983
B North Dakota	Agent	Approved	10/25/1981
B Oregon	Agent	Approved	05/13/2022
B South Dakota	Agent	Approved	08/14/1982
IA South Dakota	Investment Adviser Representative	Approved	11/18/1988
B Texas	Agent	Approved	10/28/1986
IA Texas	Investment Adviser Representative	Restricted Approval	08/21/2014
B Washington	Agent	Approved	08/28/1987

Branch Office Locations

EDWARD JONES

631 S ROOSEVELT ST STE B
ABERDEEN, SD 57401

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	01/17/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/20/1981

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
10/1980 - Present	EDWARD D. JONES & CO., L.P.	OTHER - REG REP	Y	ABERDEEN, SD, 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.

Sovereign's Kingdom A, LP

Type of business: streaming platform

Camden, DE

Start date: 1/4/2023

LPT

Hours per week: 0

Hours during trading: 0

0

Edwards Family Foundation

aberdeen, SD

Start date: 12/1/2013

Director

Hours per week: 0

Hours during trading: 0

Manage charitable affairs and investments of the foundation.

Registration and Employment History



Other Business Activities, continued

Joe P Hofer Trust

Type of business: trust account

Aberdeen, SD

Start date: 3/7/2012

trustee

Hours per week: 1

Hours during trading: 0

Manage trust assets. Maintain property & operations.

Edwards Legacy Family Limited Partnership

Type of business: family farm land

Aberdeen, SD

Start date: 1/1/2013

grantor

Hours per week: 1

Hours during trading: 1

Primary asset--farmland.

Karen L Edwards Family Limited Partnership

Type of business: family farm land

Aberdeen, SD

Start date: 1/1/2013

spouse of grantor

Hours per week: 1

Hours during trading: 1

Primary asset-- farmland.

Self

Type of business: agriculture

various farm properties in SD and ND, Aberdeen, SD

Start date: 1/1/1997

Farm Land owner, operator, mgr

Hours per week: 10

Hours during trading: 5

Develop and improve land, manage various agricultural and rental interests. Family farm land.

William O Edwards Family Limited Partnership

Type of business: family farm land

Aberdeen, SD

Start date: 1/1/2013

grantor

Hours per week: 1

Hours during trading: 01

Registration and Employment History



Other Business Activities, continued

Primary asset-- farmland.

New Covenant Films LLC

Type of business: film production

Aberdeen, SD

Start date: 2/1/2023

member

Hours per week: 0

Hours during trading: 0

Our family foundation is 50% owner, no day to day responsibilities

The Blind

Type of business: movie

Covington, LA

Start date: 9/1/2023

investor

Hours per week: 0

Hours during trading: 0

our family foundation is investing in this movie

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
Regulatory Event	0	1	0
Customer Dispute	0	8	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator
Regulatory Action Initiated By: SOUTHERN DAKOTA DIVISION OF SECURITIES
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 11/13/1991
Docket/Case Number: Unknown
Employing firm when activity occurred which led to the regulatory action: EDWARD D. JONES
Product Type:
Other Product Type(s):
Allegations: EDWARDS ALLOWED UNLICENSED PERSONNEL TO SOLICIT CLIENTS.
Current Status: Final
Resolution: Decision
Resolution Date: 01/23/1992
Sanctions Ordered: Censure



Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: EDWARDS WAS CENSURED AND FINED \$2500.

Regulator Statement EDWARDS IS AN AGENT IN THE EDWARD D. JONES

OFFICE IN ABERDEEN. HE, ALONG WITH OFFICE MANAGER E. MARVIN
TEBBEN ALLOWED CLERICAL PERSONNEL TO SOLICIT AND SERVICE
CLIENTS. THE DIVISION FINED EDWARDS \$2500, REQUIRED ADDITIONAL
SUPERVISION, INCLUDING MONTHLY SPOT CHECKS FOR 6 MONTHS AND
QUARTERLY CHECKS FOR 6 MONTHS THEREAFTER. ANY FURTHER
UNLICENSED ACTIVITY WILL RESULT IN IMMEDIATE LOSS OF EDWARDS
AGENT'S LICENSE.

Reporting Source: Broker

Regulatory Action Initiated By: REGULATOR- STATE OF SOUTH DAKOTA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/13/1991

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: EDWARD D. JONES

Product Type:

Other Product Type(s):

Allegations: MR. EDWARDS ADMITTED THAT HIS BRANCH OFFICE
ADMINISTRATOR, AN UNLICENSED INDIVIDUAL, HAD ON OCCASSION, WITH
HIS CONSENT, SOLICITED CUSTOMERS TO ENGAGE IN SECURITIES
TRANSACTIONS AND, ON OCCASSION, ENTER ORDERS FOR HIS CLIENTS
ACCOUNTS WITHOUT MR. EDWARD'S TALKING TO THE CLIENTS.

Current Status: Final

Resolution: Decision

Resolution Date: 01/23/1992

Sanctions Ordered: Censure



Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

1) EDWARDS WILL PAY THE DIVISION OF SECURITIES A \$2,500 FINE FOR THE VIOLATION OF THE SD SECURITIES LAWS. 2) EDWARDS WILL SUBMIT TO ADDITIONAL SUPERVISION TO INCLUDE MONTHLY SPOT CHECKS BY THE COMPLIANCE PERSONNEL AT EDWARD D. JONES FOR 6 MONTHS BEGINNING 1/1/92 & QUARTERLY CHECKS FOR 6 MONTHS THEREAFTER. THE TERMS & CONDITIONS OF THE ADDITIONAL SUPERVISION WILL BE CONFIRMED WITH EDWARD D JONES. 3) ANY UNLICENSED ACTIVITY THAT IS PERFORMED BY EDWARDS OR ANY PERSONNEL UNDER EDWARD'S SUPERVISION WILL RESULT IN THE IMMEDIATE LOSS OF EDWARD'S AGENT'S LICENSE.



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 8

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: EDWARD JONES
Allegations: CLIENTS SENT A COMPLAINT TO THE STATE OF SOUTH DAKOTA DEPARTMENT OF COMMERCE AND REGULATION. THEY ALLEGE THEY INSTRUCTED THE IR TO PURCHASE A \$60,000 TWO YEAR CD PAYING 6% IN BOTH OF THEIR ACCOUNTS. THE IR PURCHASED A PROVIDENT BANK FIFTEEN YEAR DEPOSIT NOTE. THEY REQUEST THE MONEY BACK PLUS INTEREST.

Product Type: CD(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/19/1999

Complaint Pending? No

Status: Settled

Status Date: 08/06/1999

Settlement Amount: \$18,600.00

Individual Contribution Amount: \$9,300.00

Broker Statement THE FIRM'S RESPONSE WAS SENT DIRECTLY TO THE STATE OF SOUTH DAKOTA AS REQUESTED BY THE STATE. THEY WERE ADVISED THAT OUR FIRM BELIEVES MR. EDWARDS HAD SOLD THE DEPOSIT NOTES CORRECTLY AND HAD EXPLAINED THE MATURITIES DATES AND RISKS INVOLVED WITH THE INVESTMENTS TO THE CUSTOMERS. THE CUSTOMERS HAD BEEN MAILED A DISCLOSURE DOCUMENT WITH THE CONFIRMATIONS BY OUR FIRM WHICH ALSO EXPLAINED THE MATURITY DATES AND RISKS. HOWEVER SINCE IT DID APPEAR THAT THERE WAS A MISUNDERSTANDING ON THE PART OF THE CUSTOMERS REGARDING THE MATURITY DATES, THE TRADES WERE CANCELLED AT THE STATES REQUEST AT A LOSS OF \$18,600.00

**Disclosure 2 of 8****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:****Allegations:** ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREP., UNSUITABILITY, NEG. MISREP. AND BRCH. OF FIDUCIARY DUTY IN THE SALE OF \$5,000 OF ANGELES INCOME PROP., LTD. II. (AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS FEES.)**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution****Amount:****Civil Litigation Information****Court Details:** CIRCUIT; MCPHERSON COUNTY, SD**Date Notice/Process Served:** 02/26/1993**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 03/05/1997**Monetary Compensation**
Amount: \$20,000.00**Individual Contribution**
Amount:**Broker Statement** SETTLED FOR \$20,000
I ABSOLUTELY AND UNEQUIVOCALLY DENY ALL
ALLEGATIONS OF WRONGDOING. I BELIEVE THIS IS A MATTER OF AN



APPROPRIATE AND SUITABLE INVESTMENT THAT DID NOT PERFORM AS WELL AS EXPECTED (EVEN THOUGH THE INVESTMENT IS CURRENTLY IN EXISTENCE AND HAS NOT COMPLETED OPERATION.)

Disclosure 3 of 8

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

EDWARD D. JONES & CO., L.P.

Allegations:

ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGLIGENT MISREP. AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$10,000 IN ANGLES INCOME PROPERTIES III, \$29,500 IN PUTNAM HIGH YIELD I AND \$2,929 IN ILLINOIS POWER COMMON STOCK BY THE CUSTOMER, AND \$40,000 IN ANGELES INCOME PROPERTIES II AND \$20,000 IN NOONEY INCOME FUND LTD. BY CUSTOMER. (AMOUNT CLAIMED:UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS FEES.)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIRCUIT; WALWORTH COUNTY, SD; 92-109

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date:



Monetary Compensation Amount:	\$150,000.00
Individual Contribution Amount:	
Broker Statement	CUSTOMER - SETTLED FOR \$100,000 (9/96). CUSTOMER SETTLED FOR \$50,000 (10/16/96). I ABSOLUTELY AND UNEQUIVOCALLY DENY ALL ALLEGATIONS. EACH INVESTMENT WAS APPROPRIATE AND SUITABLE GIVEN THE CONDITIONS AT THAT TIME, AND PERFORMED WITHIN RANGE OF EXPECTATIONS CONSIDERING ECONOMIC AND LAW CHANGES OVER THE INTERVENING TIME FRAME.

Disclosure 4 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGIGENT, MISREP. AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$5,000 OF MCNEIL REAL ESTATE FUND XII.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNREYS FEES.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	12/29/1992

Settlement Amount:

Individual Contribution Amount:
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Civil Litigation Information

Type of Court:	State Court
Name of Court:	CIRCUIT COURT
Location of Court:	SPINK COUNTY, SD
Docket/Case #:	92-124
Date Notice/Process Served:	12/29/1992
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/15/1996
Monetary Compensation Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$35,000 CUSTOMER PURCHASED A \$5,000 MCNEIL REAL ESTATE FUND XII FROM US IN 1981. HE WAS QUALIFIED BUYER, HAD FULL INFORMATION AND KNEW THE RISKS OF REAL ESTATE. I SOLD IT TO GOOD FAITH, HE PURCHASED IT IN GOOD FAITH, BUT IT DID NOT PERFORM WELL. I DENY ALL ALLEGATIONS OF FRAUD DECEIT UNSUITABILITY MISREPRESENTATION, ETC.

Disclosure 5 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., L.P.
Allegations:	ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREP., UNSUIT., NEG. MISREP, AND BRCH. OF FIDUCIARY DUTY IN THE SALE OF \$12,000 OF NRM, \$12,000 OF ANGELES INCOME, \$21,000 OF PUT. HIGH YLD. TRUST I BY CUSTOMER; \$10,000 OF ANG. INCOME PROP. II AND \$10,000 OF UNIV. HIGH EQUITY REAL ESTATE FD. III. (AMT. CLAIMED: UNSPECIFIED PLUS PUNITIVE DMGS., INTEREST AND ATTORNEYS` FEES.)

Product Type:

Alleged Damages:



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: CIRCUIT; MCPHERSON COUNTY, SD

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/05/1997

Monetary Compensation Amount: \$195,000.00

Individual Contribution

Amount:

Broker Statement SETTLED FOR \$60,000 TO ANOTHER PARTY, \$80,000 TO CUSTOMER AND \$55,000 TO ANOTHER PARTY. I ABSOLUTELY AND UNEQUIVOCALLY DENY ANY WRONGDOING. THESE WERE SUITABLE AND APPROPRIATE INVESTMENTS AT THE TIME. THESE INVESTORS HAD MANY OTHER VERY SUCCESSFUL INVESTMENTS.

Disclosure 6 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGIGENT MISREPRESENTATION



AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$20,000 OF UNITED BANKERS DEBENTURES. (AMOUNT CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS' FEES)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: CIRCUIT; BROWN COUNTY, SD; 92-1019

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/02/1996

Monetary Compensation

Amount: \$85,000.00

Individual Contribution

Amount:

Broker Statement

SETTLED FOR \$85,000
BOTH THE FIRM AND I MAINTAIN THAT THERE WAS NO
WRONGDOING WHATSOEVER IN THIS CASE

Disclosure 7 of 8

Reporting Source: Broker

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



Allegations: ALLEGATIONS OF FRAUD, DECEIT, FRAUDULENT MISREPRESENTATION, UNSUITABILITY, NEGLIGENT MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY IN THE SALE OF \$7,000 IN ANGELES INCOME PROP., \$6,000 IN ANGELES INCOME PROP., LTD. IV, \$4,000 IN UNITED BANKERS, \$10,000 IN COMMUNITY PSYCHIATRIC, \$5,000 IN UNIVERSITY HIGH \$24,000 IN PUTNAM HIGH TRUST I.

Product Type: Mutual Fund
Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount AMOUNT
Explanation (if amount not exact): CLAIMED: UNSPECIFIED PLUS PUNITIVE DAMAGES, INTEREST, COSTS AND ATTORNEYS` FEES.

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 12/29/1992

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: CIRCUIT COURT

Location of Court: EDMUNDS COUNTY, SD

Docket/Case #: 92-42

Date Notice/Process Served: 12/29/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/17/1996

Monetary Compensation Amount: \$50,000.00



Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$50,000. I ABSOLUTELY DENY ALL ALLEGATIONS. EACH INVESTMENT WAS APPROPRIATE AND SUITABLE AT THE TIME OF PURCHASE BASED ON THE AVAILABLE INFORMATION.

Disclosure 8 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENT ALLEGES TRADE OF MCDONALD'S STOCK WAS UNAUTHORIZED. NO DAMAGES SPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/10/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement

UPON THE CANCELLATION OF THIS TRADE, THE SHARES WILL BE RESTORED TO THE CUSTOMERS ACCOUNT AND AVAILABLE FOR TRANSFER.
THE CUSTOMER AGREED TO SELL SOME OF HER SHARES OF MACDONALD'S, BUT LATER CHANGED HER MIND. I AGREED TO CANCELLING THE TRADE, EVEN THOUGH UNDER NO LEGAL OBLIGATION TO DO SO, AND DO NOT ADMIT TO ANY WRONGDOING FOR UNAUTHORIZED TRANSACTION.

End of Report



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