

BrokerCheck Report

Abe Warren Dye

CRD# 74380

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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



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.

Abe W. Dye

CRD# 74380

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

IA EDWARD JONES
 6021 S KINGS RANCH RD #4
 GOLD CANYON, AZ 85118
 CRD# 250
 Registered with this firm since: 03/11/2019

B EDWARD JONES
 6021 S KINGS RANCH RD #4
 GOLD CANYON, AZ 85118-4774
 CRD# 250
 Registered with this firm since: 05/18/1978

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
- 38 U.S. states and territories

This broker has passed:

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

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

- B WADDELL & REED, INC.**
 CRD# 866
 08/1976 - 07/1978
- B IDS LIFE INSURANCE COMPANY**
 CRD# 6321
 03/1973 - 10/1976
- B IDS MARKETING CORPORATION**
 CRD# 6363
 03/1973 - 10/1976

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	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 38 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	05/18/1978
B	FINRA	General Securities Principal	Approved	03/19/1984
B	FINRA	General Securities Sales Supervisor	Approved	02/25/1992
B	NYSE American LLC	General Securities Principal	Approved	09/13/2011
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	06/22/1978
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	08/15/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/28/1994
B	Arkansas	Agent	Approved	10/13/2021
B	California	Agent	Approved	03/11/1994
B	Colorado	Agent	Approved	11/17/1999
B	Florida	Agent	Approved	06/04/2013
B	Georgia	Agent	Approved	06/24/2024
B	Hawaii	Agent	Approved	04/30/2019
B	Idaho	Agent	Approved	09/06/2002
B	Illinois	Agent	Approved	05/25/1978
B	Indiana	Agent	Approved	10/25/2006
B	Iowa	Agent	Approved	06/03/2014
B	Kansas	Agent	Approved	10/04/1981
B	Maine	Agent	Approved	09/03/2014
B	Maryland	Agent	Approved	02/15/2024
B	Michigan	Agent	Approved	04/15/2002
B	Minnesota	Agent	Approved	01/02/1997
B	Missouri	Agent	Approved	06/16/2022
B	Montana	Agent	Approved	04/26/2011
B	Nebraska	Agent	Approved	08/03/2020
B	Nevada	Agent	Approved	03/16/1994
B	New Jersey	Agent	Approved	09/20/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	04/04/1994
B	North Carolina	Agent	Approved	07/23/2020
B	North Dakota	Agent	Approved	09/18/2008
B	Ohio	Agent	Approved	01/06/2021
B	Oklahoma	Agent	Approved	05/07/2025
B	Oregon	Agent	Approved	05/23/2005
B	Pennsylvania	Agent	Approved	03/25/2009
B	South Carolina	Agent	Approved	09/26/2024
B	South Dakota	Agent	Approved	03/22/2011
B	Tennessee	Agent	Approved	07/19/2016
B	Texas	Agent	Approved	03/24/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	03/11/2019
B	Utah	Agent	Approved	05/04/2004
B	Virginia	Agent	Approved	03/19/2012
B	Washington	Agent	Approved	03/26/1996
B	Wisconsin	Agent	Approved	04/29/1998
B	Wyoming	Agent	Approved	05/09/2003

Branch Office Locations

EDWARD JONES

6021 S KINGS RANCH RD #4
GOLD CANYON, AZ 85118-4774



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 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	01/23/1992
B General Securities Principal Examination	Series 24	03/16/1984

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B NYSE Allied Member Examination	Series 41	03/17/1984
B Registered Representative Examination	Series 1	02/26/1973

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/12/1991

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
B 08/1976 - 07/1978	WADDELL & REED, INC.	866	
B 03/1973 - 10/1976	IDS LIFE INSURANCE COMPANY	6321	
B 03/1973 - 10/1976	IDS MARKETING CORPORATION	6363	
B 03/1973 - 10/1976	INVESTORS DIVERSIFIED SERVICES, INC.	6320	

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
05/1978 - Present	EDWARD D. JONES & CO., L.P.	OTHER - GENERAL PRINCIPAL	Y	APACHE, AZ, 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
Regulatory Event	0	1	0
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.

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: Broker

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/01/1986

Docket/Case Number: 85-89

Employing firm when activity occurred which led to the regulatory action: EDWARD D. JONES & CO., L.P.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 01/01/1986

Broker Statement THE CONSENT ORDER STATES THAT EDWARD D. JONES & CO. (EDJ): (1) SHALL ARRANGE FOR AN EMPLOYEE OF ITS HEADQUARTERS



COMPLIANCE STAFF TO VISIT THE EDJ BRANCH OFFICES EMPLOYING THE REGISTERED REPRESENTATIVES LISTED ON EXHIBIT B (DYE WAS LISTED) ONCE EVERY SIX MONTHS FOR THE 12 MONTHS FOLLOWING THE EXECUTION OF THIS ORDER. (2) ON OR ABOUT DECEMBER 31, 1986 AND DECEMBER 31, 1987, EDJ SHALL MANUALLY PREPARE AND FORWARD TO THE ILLINOIS SECURITIES DEPARTMENT A FORM U4 FOR EACH SALESPERSON LISTED ON EXHIBIT B; (3) EDJ SHALL PROVIDE THE ILLINOIS SECURITIES DEPARTMENT WITH A COPY OF A WRITTEN REPORT PREPARED BY INDEPENDENT COUNSEL CONCERNING EDJ'S POLICIES AND PROCEDURES FOR CONDUCTING DUE DILIGENCE INVESTIGATIONS; (4) EDJ SHALL PAY TO THE SECRETARY OF STATE THE SUM OF \$10,000 IN REIMBURSEMENT FOR THE COSTS AND EXPENSES OF THE INVESTIGATION IN THIS MATTER; (5) EDJ SHALL SUBMIT TO THE BINDING ARBITRATION WITH SUCH OF THE 22 DEBENTURE PURCHASERS IDENTIFIED ON EXHIBIT C WHO ELECT TO PARTICIPATE IN SUCH AN ARBITRATION. THE PROCEDURES UNDER WHICH THE ARBITRATION WILL BE CONDUCTED SHALL BE MUTUALLY AGREED TO BY EDJ AND THE ILLINOIS SECURITIES DEPARTMENT; (6) THIS MATTER, TOGETHER WITH THE AMENDED COMPLAINT HEREIN, IS DISMISSED WITH PREJUDICE AS TO EDJ AND RESPONDENTS BAU, DARNALL, DYE, LEININGER, MYRE, QUICK, AND REAMEY, AND NO FURTHER ACTION SHALL BE TAKEN BY THE STATE OF ILLINOIS AGAINST AGAINST EDJ, THE FOREGOING INDIVIDUAL RESPONDENTS, OR ANY OTHER REPRESENTATIVE OF EDJ, WITH RESPECT TO THE OFFER FOR SALE OR SALE BY EDJ OR ITS REPRESENTATIVES OF THE D.H. BALDWIN COMPANY DEBENTURES WHICH ARE THE SUBJECT OF THIS ACTION.



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 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND DAMAGES OF \$34,765.

Product Type:

Alleged Damages: \$34,765.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/23/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 93-02169

Date Notice/Process Served: 06/01/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/23/1994

Monetary Compensation Amount: \$17,000.00

Individual Contribution Amount:



Broker Statement SETTLED FOR \$17,000
Not Provided

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: SUITABILITY; MISREPRESENTATION; OMISSION OF FACTS; CHURNING

Product Type:

Alleged Damages: \$30,001.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-02169

Date Notice/Process Served: 06/28/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/29/1994

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: BREACH OF FIDUCIARY DUTY & MISREPRESENTATION
IN THE SALE OF NOONEY REAL PROPERTY INVESTORS V. AMOUNT
CLAIMED: \$34,765

Product Type:

Alleged Damages: \$30,001.00

Customer Complaint Information



Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 93-02169

Date Notice/Process Served: 06/28/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/29/1994

Monetary Compensation Amount: \$17,000.00

Individual Contribution Amount:

Broker Statement Not Provided
Not Provided

End of Report



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