

EDWARD D JONES & CO LP /TA

FORM TA-1/A (Amended Transfer Agent Registration)

Filed 06/02/26

Address 12555 MANCHESTER ROAD
ST LOUIS, MO, 63131
Telephone 314-515-2000
CIK 0000810417

TA-1/A : Filer Information

1(a). Filer CIK:	<input type="text" value="0000810417"/>
1(b). Filer CCC:	<input type="text" value="*****"/>
1(c). Is this a LIVE or TEST submission?	<input checked="" type="checkbox"/> Live <input type="checkbox"/> Test
1(d). Would you like a Return Copy?	<input checked="" type="checkbox"/> Yes
1(e). Is this filing an amendment to a previous filing?	<input checked="" type="checkbox"/> Yes
1(e)(i). File Number	<input type="text" value="084-01496"/>

Submission Contact Information

The registrant may provide a single e-mail address for contact purposes.

1(f)(i). Contact Name:	<input type="text"/>
1(f)(ii). Contact Phone Number:	<input type="text"/>
1(f)(iii). Contact E-Mail Address:	<input type="text"/>

Notification Information

The registrant may provide additional e-mail addresses for those persons the filer would like to receive notification e-mails regarding the filing.

1(g). Notification E-mail Address:	<input type="text"/>
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TA-1/A : Registrant Information

2. Appropriate regulatory agency (check one):	<input checked="" type="checkbox"/> Securities and Exchange Commission <input type="checkbox"/> Federal Deposit Insurance Corporation <input type="checkbox"/> Comptroller of the Currency
3(a). Full Name of Registrant:	<input type="text" value="EDWARD D JONES & CO LP /TA"/>
3(a)(i). Previous name, if being amended:	<input type="text"/>
3(b). Financial Industry Number (FINS) number:	<input type="text" value="000570"/>
3(c). Address of principal office where transfer agent activities are, or will be, performed:	
3(c)(i). Address 1	<input type="text" value="12555 Manchester Road"/>
3(c)(ii). Address 2	<input type="text"/>
3(c)(iii). City	<input type="text" value="St. Louis"/>

3(c)(iv). State or Country	<input type="text" value="MISSOURI"/>
3(c)(v). Postal Code	<input type="text" value="63131"/>
3(d). Is Mailing address different from response to Question 3c? If "yes" provide address(es):	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3(e). Telephone Number (Include Area Code)	<input type="text" value="314-515-2000"/>
4. Does Registrant conduct, or will it conduct, transfer agent activities at any location other than that given in Questions 3(c) above? If "Yes" provide address (es):	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Other Business Location Record: 1	
4(a)(i). Address 1	<input type="text" value="8640 S. River Parkway"/>
4(a)(ii). Address 2	<input type="text"/>
4(a)(iii). City	<input type="text" value="Tempe"/>
4(a)(iv). State or Country	<input type="text" value="ARIZONA"/>
4(a)(v). Postal Code	<input type="text" value="85284"/>
5. Does registrant act, or will it act, as a transfer agent solely for its own securities, and/or securities of an affiliate(s)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
6. Has registrant, as a named transfer agent, engaged, or will it engage, a service company to perform any transfer agent functions?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
7. Has registrant been engaged, or will it be engaged as a service company by a named transfer agent to perform transfer agent functions?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

TA-1/A : Independent, Non-Issuer Registrant Information

Completion of Question 8 on this form is required by all independent, non-issuer registrants whose appropriate regulatory authority is the Securities and Exchange Commission. Those registrants who are not required to complete Question 8 should select "Not Applicable".

8. Is registrant a:	<input type="text" value="Partnership"/>
Section for Initial Registration and for Amendments Reporting Additional Persons.	
corporation or partner information Related to item 8 Record: 1	
8(a)(i). Full Name	<input type="text" value="EDJ Holding Company, Inc."/>
8(a)(ii). Relationship Start Date	<input type="text" value="08/28/1987"/>
8(a)(iii). Title or Status	<input type="text" value="General Partner"/>
8(a)(iv). Ownership Code	<input type="text" value="NA"/>
8(a)(v). Control Person	<input checked="" type="checkbox"/> Yes
8(a)(vi). Relationship End Date	<input type="text"/>

corporation or partner information Related to item 8 Record: 2

8(a)(i). Full Name

The Jones Financial Companies, L.L.L.P.

8(a)(ii). Relationship Start Date

08/28/1987

8(a)(iii). Title or Status

Limited Partner

8(a)(iv). Ownership Code

E

8(a)(v). Control Person

Yes

8(a)(vi). Relationship End Date

9. Does any person or entity not named in the answer to Question 8:

9(a). directly or indirectly, through agreement or otherwise exercise or have the power to exercise control over the management or policies of applicant, or;....

Yes No

Entity information Related to item 9(a) Record: 1

9(a)(i). Exact name of each person or entity:

Penelope Pennington

9(a)(ii). Description of the Agreement or other basis:

Chief Executive Officer

Entity information Related to item 9(a) Record: 2

9(a)(i). Exact name of each person or entity:

Andrew Timothy Miedler

9(a)(ii). Description of the Agreement or other basis:

Chief Financial Officer

Entity information Related to item 9(a) Record: 3

9(a)(i). Exact name of each person or entity:

David Barry Chubak

9(a)(ii). Description of the Agreement or other basis:

Head of Wealth Management & Field Management

Entity information Related to item 9(a) Record: 4

9(a)(i). Exact name of each person or entity:

Todd Judson Purdy

9(a)(ii). Description of the Agreement or other basis:

Head of Operations

Entity information Related to item 9(a) Record: 5

9(a)(i). Exact name of each person or entity:

Jennifer A Grego

9(a)(ii). Description of the Agreement or other basis:

Chief Compliance Officer - Broker/Dealer

Entity information Related to item 9(a) Record: 6

9(a)(i). Exact name of each person or entity:

Keir Devon Gumbs

9(a)(ii). Description of the Agreement or other basis:

Chief Legal Officer

Entity information Related to item 9(a) Record: 7

9(a)(i). Exact name of each person or entity:

Kristin Michele Johnson

9(a)(ii). Description of the Agreement or other basis:

Chief Operating Officer

Entity information Related to item 9(a) Record: 8

9(a)(i). Exact name of each person or entity:

David Alexander Gunn

9(a)(ii). Description of the Agreement or other basis:

Head of U.S. Business Unit

9(b). wholly or partially finance the business of the applicant, directly or indirectly, in any manner other than by a public offering of securities made pursuant to the Securities Act of 1933 or by credit extended in the ordinary course of business by suppliers, banks and others?.....

Yes No

TA-1/A : 10. Applicant and Control Affiliate Disciplinary History

The following definitions apply for purposes of answering this Question 10

Control Affiliate

- An individual or firm that directly or indirectly controls, is under common control with, or is controlled by applicant. Included are any employees identified in 8(a), 8(b), 8(c) of this form as exercising control. Excluded are any employees who perform solely clerical, administrative support of similar functions, or who, regardless of title, perform no executive duties or have no senior policy making authority.

Investment or investment related

- Pertaining to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker dealer, investment company, investment adviser, futures sponsor, bank, or savings and loan association).

Involved

- Doing an act of aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

10(a). In the past ten years has the applicant or a control affiliate been convicted of or plead guilty or nolo contendere ("no contest") to:

10(a)(1). a felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting, or extortion?

Yes No

10(a)(2). any other felony?

Yes No

10(b). Has any court in the past ten years:

10(b)(1). enjoined the applicant or a control affiliate in connection with any investment-related activity?

Yes No

10(b)(2). found that the applicant or control affiliate was involved in a violation of investment-related statutes or regulations?

Yes No

10 (c). Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

10(c)(1). found the applicant or control affiliate to have made a false statement or omission?

Yes No

Entity information Related to item 10(c)(1) Record: 1

10(c)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(1)(ii). Title of Action

SEC Admin Proceedings File No. 3-11780

10(c)(1)(iii). Date of Action

12/22/2004

10(c)(1)(iv). The Court or body taking the Action and its location

U.S. Securities and Exchange Commission (SEC)

10(c)(1)(v). Description of the Action

The SEC alleged Edward Jones (a) failed to disclose its financial incentives to sell mutual funds from the preferred families on its website and other written documentation, and orally to clients, (b) failed to disclose on its website or any other written documentation any incentives to sell 529 Plans, and (c) willfully violated Section 17(A)(2) of the Securities Act, Rules 10B-10 under the Exchange Act, Section 15B(C)(1) of the Exchange Act, and contravened the dictates of MSRB Rule G-15. The SEC deemed it appropriate to (a) censure Edward Jones, (b) order Edward Jones to cease and desist from committing any violations of Section 17(A)(2) of the Securities Act, Section 15B(C)(1) of the Exchange Act, Rules 10B-10 and MSRB Rule G-15, and (c) order Edward Jones to pay a total of \$37.5 million for disgorgement plus prejudgment interest and a \$37.5 million as a civil monetary penalty, for a total of \$75 million. The SEC further ordered Edward Jones to (i) place and maintain on its mutual fund portion of its public website specific disclosures regarding its preferred mutual fund family program ("Program"), (ii) place and maintain specific disclosures regarding 529 Plans of its Program on its public website, (iii) send information about these disclosure to its new clients for its mutual fund and 529 transaction and then to its clients on a quarterly basis, (iv) establish policies and procedures to conduct reviews of all prospectuses and SAIS, (v) place on its public website Edward Jones' policies and procedures regarding the adding or removing of mutual fund families from its preferred list, (vi) retain an independent consultant ("IC") to review these policies and procedures and its distribution plan, (vii) have the IC submit a report to the SEC's staff about its review of Edward Jones' policies and procedures and distribution plan, (viii) report to the SEC's staff about the recommendations that it will adopt, and (ix) have the IC submit a final report to Edward Jones and the SEC staff.

10(c)(1)(vi). The disposition of the proceeding

Monetary/Fine \$37,500,000; Censure; Disgorgement/Restitution; and Cease & Desist/Injunction.

Entity information Related to item 10(c)(1) Record: 2

10(c)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(1)(ii). Title of Action

SEC Admin Proceedings File No. 85-3075

10(c)(1)(iii). Date of Action

09/01/1984

10(c)(1)(iv). The Court or body taking the Action and its location

SEC

10(c)(1)(v). Description of the Action

The SEC alleged that applicant violated the Securities Act of 1933 in an underwriting pursuant to a shelf registration of debentures of D.H. Baldwin Co., in 1982, by continuing to sell the securities pursuant to a false and misleading registration statement after adverse information appeared in the press about the issuer. A final judgment of permanent injunction enjoining and restraining applicant from violating Section 17(A)(1) & (3) of the Securities Act was entered. Applicant consented to the entry of the judgment without admitting or denying the allegations. Judgment requires applicant to create a "Due Diligence Review Committee" to review and supervise its due diligence review procedures. Although applicant was not charged with any knowledge of or active deceit in connection with any alleged deficiencies in the registration statement, the SEC alleged that the applicant recklessly failed to verify statements contained therein after the appearance of the news articles.

10(c)(1)(vi). The disposition of the proceeding

Cease & Desist/Injunction.

Entity information Related to item 10(c)(1) Record: 3

10(c)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(1)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P. (Case No. 3-16751)

10(c)(1)(iii). Date of Action

08/13/2015

10(c)(1)(iv). The Court or body taking the Action and its location

SEC

10(c)(1)(v). Description of the Action

Order Instituting Administrative and Cease-And-Desist Proceedings Pursuant to Section 8a Of the Securities Act of 1933 And Sections 15(B), 15b(C), And 21c Of the Securities Exchange Act of 1934, Making Findings, And Imposing Remedial Sanctions and A Cease And-Desist Order. RESPONSE: The SEC determined that Edward Jones failed to make bona fide public offerings to its customers at initial offering prices and failed to have internal controls to prevent certain improper trading practices in the secondary market for municipal securities. As a result, Edward Jones willfully violated Sections 17(a)(2) and (3) of the Securities Act, Section 15B(c)(1) of the Exchange Act, and Rules G-17, G-11(b) and (d), G-27, and G-30(a) of the Municipal Securities Rulemaking Board ("MSRB"), and failed reasonably to supervise within the meaning of Section 15(b)(4)(E) of the Exchange Act.

10(c)(1)(vi). The disposition of the proceeding

Edward Jones settled the matter, agreeing to censure; a civil penalty of \$15,000,000; pay disgorgement of \$4,524,332.60 and prejudgment interest of \$670,068.77; and cease and desist from committing or causing any future violations.

Entity information Related to item 10(c)(1) Record: 4

10(c)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(1)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P. (Case No. 3-16867)

10(c)(1)(iii). Date of Action

09/30/2015

10(c)(1)(iv). The Court or body taking the Action and its location

SEC

10(c)(1)(v). Description of the Action

Order Instituting Administrative and Cease-And-Desist Proceedings Pursuant to Section 8a of the Securities Act and Section 15(B) of the Securities Exchange Act, Making Findings, And Imposing Remedial Sanctions and A Cease-And-Desist Order. This is a matter involving violations of an antifraud provision of the federal securities laws in connection with Respondent's underwriting of certain municipal securities offerings. The SEC found that the Firm conducted inadequate due diligence in certain offerings and as a result, failed to form a reasonable basis for believing the truthfulness of certain material representations in official statements issued in connection with those offerings, resulting in Respondent offering and selling municipal securities on the basis of materially misleading disclosure documents in violation of Section 17(a)(2) of the Securities Act. The violations discussed in the Order were self-reported by Respondent to the SEC pursuant to the Division of Enforcement's Municipalities Continuing Disclosure Cooperation Initiative. In reaching a settlement, the SEC considered the cooperation of the Firm in self-reporting the violations.

10(c)(1)(vi). The disposition of the proceeding

In a consent order, Edward Jones agreed to implement an Independent Consultant's recommendations on policies and procedures for municipal securities underwriting due diligence, cease and desist from further violations and pay a civil penalty of \$100,000.

10(c)(2). found the applicant or control affiliate to have been involved in a violation of its regulation or statutes?

Yes No

Entity information Related to item 10(c)(2) Record: 1

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

SEC Admin Proceedings File No. 3-11780

10(c)(2)(iii). Date of Action

12/22/2004

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

See item 10(c)(1) above.

10(c)(2)(vi). The disposition of the proceeding

See item 10(c)(1) above.

Entity information Related to item 10(c)(2) Record: 2

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

SEC Admin Proceedings File No. 85-3075

10(c)(2)(iii). Date of Action

09/01/1984

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

See item 10(c)(1) above.

10(c)(2)(vi). The disposition of the proceeding

See item 10(c)(1) above.

Entity information Related to item 10(c)(2) Record: 3

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

SEC Admin Proceedings File No. 3-9181

10(c)(2)(iii). Date of Action

11/06/1996

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

The SEC alleged that applicant violated Section 22 of the Investment Company Act of 1940 for improperly permitting the charge of commissions on the repurchases of certain unit investment trusts. Applicant executed an offer of settlement with an agreement to cease and desist from future violations of Rule C-1, a censure and payment of a \$50,000 civil penalty.

10(c)(2)(vi). The disposition of the proceeding

Monetary/Fine \$50,000; Censure; and Cease & Desist/Injunction.

Entity information Related to item 10(c)(2) Record: 4

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P. (Case No. 3-16751)

10(c)(2)(iii). Date of Action

08/13/2015

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

Order Instituting Administrative and Cease-And-Desist Proceedings Pursuant to Section 8a Of the Securities Act of 1933 And Sections 15(B), 15b(C), And 21c Of the Securities Exchange Act of 1934, Making Findings, And Imposing Remedial Sanctions and A Cease And-Desist Order. RESPONSE: The SEC determined that Edward Jones failed to make bona fide public offerings to its customers at initial offering prices and failed to have internal controls to prevent certain improper trading practices in the secondary market for municipal securities. As a result, Edward Jones willfully violated Sections 17(a)(2) and (3) of the Securities Act, Section 15B(c)(1) of the Exchange Act, and Rules G-17, G-11(b) and (d), G-27, and G-30(a) of the Municipal Securities Rulemaking Board ("MSRB"), and failed reasonably to supervise within the meaning of Section 15(b)(4)(E) of the Exchange Act.

10(c)(2)(vi). The disposition of the proceeding

Edward Jones settled the matter, agreeing to censure; a civil penalty of \$15,000,000; pay disgorgement of \$4,524,332.60 and prejudgment interest of \$670,068.77; and cease and desist from committing or causing any future violations.

Entity information Related to item 10(c)(2) Record: 5

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P. (Case No. 3-16867)

10(c)(2)(iii). Date of Action

09/30/2015

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

Order Instituting Administrative and Cease-And-Desist Proceedings Pursuant to Section 8a of the Securities Act and Section 15(B) of the Securities Exchange Act, Making Findings, And Imposing Remedial Sanctions and A Cease-And-Desist Order. This is a matter involving violations of an antifraud provision of the federal securities laws in connection with Respondent's underwriting of certain municipal securities offerings. The SEC found that the Firm conducted inadequate due diligence in certain offerings and as a result, failed to form a reasonable basis for believing the truthfulness of certain material representations in official statements issued in connection with those offerings, resulting in Respondent offering and selling municipal securities on the basis of materially misleading disclosure documents in violation of Section 17(a)(2) of the Securities Act. The violations discussed in the Order were self-reported by Respondent to the SEC pursuant to the Division of Enforcement's Municipalities Continuing Disclosure Cooperation Initiative. In reaching a settlement, the SEC considered the cooperation of the Firm in self-reporting the violations.

10(c)(2)(vi). The disposition of the proceeding

In a consent order, Edward Jones agreed to implement an Independent Consultant's recommendations on policies and procedures for municipal securities underwriting due diligence, cease and desist from further violations and pay a civil penalty of \$100,000.

Entity information Related to item 10(c)(2) Record: 6

10(c)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(2)(ii). Title of Action

File No. 3-22001

10(c)(2)(iii). Date of Action

08/14/2024

10(c)(2)(iv). The Court or body taking the Action and its location

SEC

10(c)(2)(v). Description of the Action

On August 14, 2024, Edward Jones entered into a settlement with the SEC in connection with the SEC's industry-wide investigation into the preservation of electronic communications. The SEC alleged Edward Jones violated recordkeeping provisions of Section 17(a) of the Securities Exchange Act of 1934 ("Exchange Act") and Section 204 of the Investment Advisers Act of 1940 ("Advisers Act") and supervisory provisions of Section 15(b)(4)(E) of the Exchange Act and Section 203(e)(6) of the Advisers Act, and

applicable rules thereunder, in connection with retention of electronic communications stored on personal devices or messaging platforms that have not been approved by Edward Jones for business use by its employees. Prior to the settlement, Edward Jones fully cooperated with the SEC's investigation and enhanced its policies and procedures concerning the use of approved communication methods.

10(c)(2)(vi). The disposition of the proceeding

The settlement imposes a cease-and-desist order and censure, requires Edward Jones to pay a civil monetary penalty of \$50 million, and requires Edward Jones to comply with undertakings including retention of an independent compliance consultant to assess the firm's policies and systems regarding electronic communications recordkeeping and assist Edward Jones in further enhancing those policies and systems.

10(c)(3). found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?

Yes No

10(c)(4). entered an order denying, suspending or revoking the applicant's or control affiliate's registration or otherwise disciplined it by restricting its activities?

Yes No

Entity information Related to item 10(c)(4) Record: 1

10(c)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(c)(4)(ii). Title of Action

SEC Admin Proceedings File No. 3-11780

10(c)(4)(iii). Date of Action

12/22/2004

10(c)(4)(iv). The Court or body taking the Action and its location

SEC

10(c)(4)(v). Description of the Action

See item 10(c)(1) above.

10(c)(4)(vi). The disposition of the proceeding

See item 10(c)(1) above.

10(d). Has any other Federal regulatory agency or any state regulatory agency :

10(d)(1). ever found the applicant or control affiliate to have made a false statement or omission or to have been dishonest, unfair, or unethical?

Yes No

Entity information Related to item 10(d)(1) Record: 1

10(d)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(1)(ii). Title of Action

Case File No. AP-05-31

10(d)(1)(iii). Date of Action

12/23/2004

10(d)(1)(iv). The Court or body taking the Action and its location

State of Missouri Securities Division

10(d)(1)(v). Description of the Action

THE PARTIES ENTERED INTO A CONSENT ORDER TO SETTLE THIS MATTER. THE MISSOURI SECURITIES DIVISION ALLEGED THAT EDWARD JONES FAILED TO ADEQUATELY DISCLOSE TO INVESTORS INFORMATION ABOUT ITS REVENUE SHARING ARRANGEMENTS INVOLVING CERTAIN MUTUAL

FUND COMPANIES. EDWARD JONES CONSENTED TO THE ENTRY OF AN ORDER, NECESSARY FOR THE PROTECTION OF PUBLIC INVESTORS AND CONSISTENT WITH THE PROVISIONS OF CHAPTER 409 RSMO SUPP. 2004, WHICH PROVIDED THAT;(1)EDWARD JONES SHALL MAKE AVAILABLE UPON REQUEST BY THE DIVISION ALL INFORMATION AND REPORTS SUBMITTED TO THE SELF-REGULATORY AND LAW ENFORCEMENT AUTHORITIES PERTAINING TO ITS POLICIES AND PROCEDURES REGARDING REVENUE SHARING;(2)EDWARD JONES SHALL MAKE AVAILABLE UPON REQUEST BY THE SECURITIES DIVISION INFORMATION REGARDING THE IMPLEMENTATION OF ITS MUTUAL FUND RESEARCH PROGRAM; AND (3)EDWARD JONES WAS ORDERED TO PAY A CIVIL PENALTY OF \$650,000.00 MADE PAYABLE TO THE STATE OF MISSOURI, AND IT WAS ORDERED TO PAY \$850,000.00 TO EDUCATION FUNDS. EDWARD JONES WILL PAY ITS OWN COSTS AND ATTORNEYS FEES.

10(d)(1)(vi). The disposition of the proceeding

Monetary/Fine \$1,500,000.

10(d)(2). ever found the applicant or control affiliate to have been involved in a violation of investment-related regulations or statutes?

Yes No

Entity information Related to item 10(d)(2) Record: 1

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case File No. 05-053-CAG

10(d)(2)(iii). Date of Action

10/01/2004

10(d)(2)(iv). The Court or body taking the Action and its location

State of Maine Office of Securities

10(d)(2)(v). Description of the Action

THE OFFICE OF SECURITIES ALLEGED THAT EDWARD JONES VIOLATED THE REVISED MAINE SECURITIES ACT SECTIONS 10201 AND 10313(1)(G), 32M.R.S.A. PARAGRAPH 10101-10713, WHEN IT FAILED TO DISCLOSE TO ITS MAINE CLIENTS THAT IT RECEIVED REVENUE SHARING PAYMENTS FROM THE SALE OF PREFERRED MUTUAL FUNDS. EDWARD JONES NEITHER ADMITTED NOR DENIED THAT IT VIOLATED THE REVISED MAINE SECURITIES ACT, SECTIONS 10201, 10313(1)(G). EDWARD JONES ENTERED INTO A CONSENT AGREEMENT FOR THE SOLE PURPOSE OF RESOLVING THIS MATTER.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$250,000.

Entity information Related to item 10(d)(2) Record: 2

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case/Docket File No. 06E018

10(d)(2)(iii). Date of Action

04/26/2000

10(d)(2)(iv). The Court or body taking the Action and its location

Office of Securities Commissioner for the State of Kansas

10(d)(2)(v). Description of the Action

THE STATE OF KANSAS ALLEGED THAT EDWARD JONES FAILED TO SUPERVISE A FINANCIAL ADVISOR IN THE DISBURSEMENT OF CLIENT FUNDS FROM AN IRA ACCOUNT. EDWARD JONES NEITHER ADMITS NOR DENIES THE ALLEGATIONS BUT AGREES TO PAY RESTITUTION TO THE CLIENT OF \$7,500.00. EDWARD JONES ALSO AGREES TO MAKE A PAYMENT TO THE INVESTOR EDUCATION FUND PURSUANT TO K.S.A. 17-1271(D) AND L.

2004, CH. 154, 40(D), THE AMOUNT OF \$2,500.00

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$10,000.

Entity information Related to item 10(d)(2) Record: 3

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case File No. AP-05-31

10(d)(2)(iii). Date of Action

12/23/2004

10(d)(2)(iv). The Court or body taking the Action and its location

State of Missouri Securities Division

10(d)(2)(v). Description of the Action

See item 10(d)(1) above.

10(d)(2)(vi). The disposition of the proceeding

See item 10(d)(1) above.

Entity information Related to item 10(d)(2) Record: 4

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. C00-06-540

10(d)(2)(iii). Date of Action

06/23/2000

10(d)(2)(iv). The Court or body taking the Action and its location

State of Iowa Insurance Commissioner

10(d)(2)(v). Description of the Action

THE STATE OF IOWA ALLEGED THAT EDWARD JONES FAILED TO REASONABLY SUPERVISE A FINANCIAL ADVISOR WHO WAS INVOLVED IN AN UNAUTHORIZED SALE OF UNREGISTERED STOCK IN TWO COMPANIES. THE STATE ISSUED AN ORDER TO CEASE AND DESIST AND PAY A CIVIL PENALTY AND COSTS OF \$9,500.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$9,500; and Cease & Desist/Injunction.

Entity information Related to item 10(d)(2) Record: 5

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Alaska Order No. 03-04 S

10(d)(2)(iii). Date of Action

09/24/2002

10(d)(2)(iv). The Court or body taking the Action and its location

State of Alaska, Division of Banking, Securities and Corporations

10(d)(2)(v). Description of the Action

THE STATE OF ALASKA ALLEGED THAT EDWARD D. JONES FAILED TO PROPERLY CLASSIFY AND MAINTAIN A RECORD OF SPECIFIED CORRESPONDENCE AS A COMPLAINT. THE APPLICANT AGREED TO TAKE THE CORRECTIVE ACTIONS AS REQUIRED BY THE STATE OF ALASKA IN CONNECTION WITH THIS CONSENT ORDER.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$11,000.

Entity information Related to item 10(d)(2) Record: 6

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Case No. SEU-98-079
10(d)(2)(iii). Date of Action	12/17/2002
10(d)(2)(iv). The Court or body taking the Action and its location	State of Hawaii - Department of Commerce and Consumers Affairs
10(d)(2)(v). Description of the Action	THE STATE OF HAWAII ALLEGED THAT EDWARD JONES AND AN EDWARD JONES FINANCIAL ADVISOR EFFECTED THREE TRANSACTIONS WITHOUT THE PROPER REGISTRATION PURSUANT TO SECTION 485- 14 OF THE ACT. UNDER CONSENT ORDER AGREED TO BY THE FIRM, THE FIRM WAS ASSESSED \$3,000 CIVIL PENALTY FOR THE UNREGISTERED ACTIVITY OF A FINANCIAL ADVISOR.
10(d)(2)(vi). The disposition of the proceeding	Monetary/Fine \$3,000.

Entity information Related to item 10(d)(2) Record: 7

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Case No. 2000-99-038
10(d)(2)(iii). Date of Action	02/04/2000
10(d)(2)(iv). The Court or body taking the Action and its location	Securities Division of the New Mexico Secretary of State
10(d)(2)(v). Description of the Action	THE STATE OF NEW MEXICO ALLEGED THE APPLICANT VIOLATED CERTAIN LICENSING PROVISIONS OF THE NEW MEXICO SECURITIES ACT OF 1986. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EDWARD JONES AGREED TO PAY A \$5,000 CIVIL PENALTY FINE AND \$500 IN INVESTIGATION COSTS.
10(d)(2)(vi). The disposition of the proceeding	Monetary/Fine \$8,000.

Entity information Related to item 10(d)(2) Record: 8

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Case No. 05-101-S
10(d)(2)(iii). Date of Action	03/27/2003
10(d)(2)(iv). The Court or body taking the Action and its location	State of Vermont Securities Division
10(d)(2)(v). Description of the Action	THE STATE OF VERMONT ALLEGED EDWARD JONES DID NOT ADEQUATELY SUPERVISE A FINANCIAL ADVISOR IN THE DISBURSEMENT OF FUNDS IN A CLIENT'S IRA ACCOUNT. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EDWARD JONES AGREED TO PAY INTO AN EDWARD JONES MONEY MARKET IRA FOR THE CLIENT, THE DISTRIBUTION AMOUNT OF \$3,781.97 PLUS THE ESTIMATED TAX PENALTY OF \$1,718.03 FOR A TOTAL OF \$5,500.00, REVISE SUPERVISORY POLICIES AND UPDATE FORM U-4 TO INCLUDE THE DIVISION'S LETTER OF ADMONITION TO THE FINANCIAL ADVISOR.
10(d)(2)(vi). The disposition of the proceeding	Monetary/Fine \$5,500.

Entity information Related to item 10(d)(2) Record: 9

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. 91-0004CD

10(d)(2)(iii). Date of Action

11/07/1991

10(d)(2)(iv). The Court or body taking the Action and its location

Secretary of State, Indiana Securities Division

10(d)(2)(v). Description of the Action

THE STATE OF INDIANA ALLEGED EDWARD JONES MADE MISREPRESENTATIONS REGARDING COMPLAINTS RECEIVED FROM CLIENTS OF ITS MARION, INDIANA BRANCH OFFICE CONCERNING SALES PRESENTATIONS FOR MUTUAL FUNDS REGARDING THE RISK OF LOSS. APPLICANT ENTERED INTO A CONSENT AGREEMENT WITH INDIANA, WITHOUT ADMITTING OR DENYING THE COMPLAINT ALLEGATIONS OR THAT VIOLATIONS OF THE INDIANA SECURITIES ACT OCCURRED, APPLICANT AGREED TO CONDUCT A COMPLIANCE SEMINAR FOR INDIANA BROKERS; TO DISCLOSE TO THE INDIANA SECURITIES DIVISION ANY INDIANA INVESTOR COMPLAINTS; TO OFFER TO SETTLE WITH COMPLAINING CLIENTS UP TO 72% OF THEIR PRINCIPAL LOSSES; AND TO REIMBURSE THE DIVISION FOR ITS UNSPECIFIED COSTS OF INVESTIGATIONS.

10(d)(2)(vi). The disposition of the proceeding

Consent agreement.

Entity information Related to item 10(d)(2) Record: 10

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P., Case No. S-16-0017

10(d)(2)(iii). Date of Action

09/13/2018

10(d)(2)(iv). The Court or body taking the Action and its location

Arkansas Securities Department

10(d)(2)(v). Description of the Action

Consent Order The Arkansas Securities Department found that Edward Jones failed to establish, maintain and enforce a system to adequately supervise the activities of a financial advisor who violated firm-imposed trading restrictions and firm policies. The Department also found that Edward Jones failed to properly disclose a complaint and settlement involving the financial advisor, as well as the fact that the financial advisor was under internal review at the time of his termination.

10(d)(2)(vi). The disposition of the proceeding

Edward Jones entered into the AWC agreeing to pay a fine of \$50,000, conduct a review of its supervisory practices and to update the financial advisor's Form U5.

Entity information Related to item 10(d)(2) Record: 11

10(d)(2)(i). The individuals named in the Action

Edward Jones

10(d)(2)(ii). Title of Action

Edward Jones, Case No. 10-0504 CA

10(d)(2)(iii). Date of Action

03/01/2011

10(d)(2)(iv). The Court or body taking the Action and its location

Indiana Secretary of State, Securities Division

10(d)(2)(v). Description of the Action

Consent Order Indiana Secretary of State, Securities Division, alleged that the Firm failed to supervise a single financial advisor who changed the primary account holder and social security number on an account by submitting paperwork without complete signatures.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the allegations, Edward Jones entered into a Consent Agreement, agreeing to pay the Indiana Secretary of State, Securities Division \$10,000.00.

Entity information Related to item 10(d)(2) Record: 12

10(d)(2)(i). The individuals named in the Action

Edward Jones

10(d)(2)(ii). Title of Action

In the Matter of Edward Jones, Case No. C-201200002

10(d)(2)(iii). Date of Action

02/25/2014

10(d)(2)(iv). The Court or body taking the Action and its location

New Hampshire Department of State, Bureau of Securities Regulation

10(d)(2)(v). Description of the Action

The New Hampshire Department of State, Bureau of Securities Regulation alleged that the Firm violated N.H. RSA 421-B:8, X relating to telephone solicitation calls. Without admitting or denying the allegations, Edward Jones entered into a Consent Agreement and Order, agreeing to implement procedural changes in the areas of training, compliance and supervision of financial advisors telephone solicitation activity and report on compliance with the consent Order at 6 months and one year from the date of the Order.

10(d)(2)(vi). The disposition of the proceeding

Edward Jones entered in to a Consent agreement and agreed to pay an Administrative fine of \$400,000, \$170,000 in costs and make a \$175,000 contribution to NH Investor Education.

Entity information Related to item 10(d)(2) Record: 13

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Pennsylvania Department of Banking and Securities, Case No. 160043 (SEC-CAO)

10(d)(2)(iii). Date of Action

08/04/2016

10(d)(2)(iv). The Court or body taking the Action and its location

Commonwealth of Pennsylvania Department of Banking and Securities

10(d)(2)(v). Description of the Action

Consent Agreement and Order The Pennsylvania Department of Banking and Securities alleged that the Firm failed to supervise an agent in violation of the Pennsylvania Securities Act of 1972.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the allegations, Edward Jones entered into a Consent Agreement and Order, agreeing to comply with the Pennsylvania Securities Act and pay an Administrative Assessment of \$135,000,000 & \$10,000.00 for the costs of investigation

Entity information Related to item 10(d)(2) Record: 14

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

SEC-2010-32

10(d)(2)(iii). Date of Action

03/02/2010

10(d)(2)(iv). The Court or body taking the Action and its location

State of Montana

10(d)(2)(v). Description of the Action

The Montana Securities Department investigated the actions of a former financial advisor for allegedly misappropriating customer funds. Edward Jones terminated the financial advisor and reported the matter to the Montana Securities Department. Edward Jones and the Montana Securities Department have entered into a Consent Agreement which includes Edward Jones paying a \$100,000 fine for a books and records violation, paying

six customers a total of \$349,464.92 in restitution, storing exact duplicates of certain types of identified negative confirmation letters, and undertaking a review of its written supervisory procedures with respect to the execution of blank letters of authorization.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$100,000; Restitution.

Entity information Related to item 10(d)(2) Record: 15

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 85-89

10(d)(2)(iii). Date of Action

11/21/1985

10(d)(2)(iv). The Court or body taking the Action and its location

Secretary of State, Illinois Securities Department

10(d)(2)(v). Description of the Action

The state of Illinois alleged Edward Jones made untrue statements in violation of Illinois securities law of 1953, commission of fraud, inequitable business practice, and omission to state material facts regarding the sale of D.H. Baldwin debentures. the state filed notice of hearing to determine whether to revoke or suspend the state of Illinois registrations of Edward Jones and nine financial advisors. without admitting or denying any of the allegations, applicant entered into a stipulation & consent to enter an order with the state in which it agreed to review the office procedures of 12 Illinois offices every 6 months for a one year period; submit a form u-4 report for each of the 12 financial advisors whose offices have additional audit procedures; provide the state with a report from an independent counsel on its due diligence procedures; pay the state \$10,000; and submit to arbitration with 22 D.H. Baldwin holders listed on an exhibit attached to the consent. in return, the state agreed to dismiss with prejudice the to applicant and seven financial advisors from any further action.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$10,000.

Entity information Related to item 10(d)(2) Record: 16

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. SEU-98-014

10(d)(2)(iii). Date of Action

09/18/1998

10(d)(2)(iv). The Court or body taking the Action and its location

State of Hawaii Securities Commissioner

10(d)(2)(v). Description of the Action

The state of Hawaii filed a preliminary cease and desist order alleging that an Edward Jones financial advisor violated various provisions of Hawaii revised statutes, including wrongfully obtaining funds. applicant was charged with failure to supervise. applicant agreed pay client's principal loss of \$43,000 and reimbursement to the state for administrative costs of \$12,500.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$55,500.

Entity information Related to item 10(d)(2) Record: 17

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 93-058-S

10(d)(2)(iii). Date of Action

11/17/1993

10(d)(2)(iv). The Court or body taking the Action and its location

State of Vermont Securities Division

10(d)(2)(v). Description of the Action

The state of Vermont alleged that Edward Jones transacted business through an unregistered branch office and failed to provide notification relative to branch office changes. the applicant entered into a consent order wherein it neither admitted nor denied the division's allegations. applicant agreed to a fine of \$3,500 and costs of \$500.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$3,500.

Entity information Related to item 10(d)(2) Record: 18

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 88-142

10(d)(2)(iii). Date of Action

12/14/1988

10(d)(2)(iv). The Court or body taking the Action and its location

Secretary of State, Illinois Securities Department

10(d)(2)(v). Description of the Action

The state issued notice of hearing wherein it alleged that certain activities or business and sales practices conducted by defendants involving the sale of limited partnership interests issued by natural resource management provided sufficient grounds to require a public hearing. the applicant entered into a settlement agreement with Illinois. without admitting or denying any of the allegations brought by the state, applicant agreed to give the complaining customers the option of arbitrating their complaints or being paid a settlement amount predetermined by Edward Jones and the state of Illinois.

10(d)(2)(vi). The disposition of the proceeding

Settlement Agreement.

Entity information Related to item 10(d)(2) Record: 19

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 92.133.DOS

10(d)(2)(iii). Date of Action

02/01/1992

10(d)(2)(iv). The Court or body taking the Action and its location

State of Florida Department of Banking and Finance

10(d)(2)(v). Description of the Action

The state of Florida alleged Edward Jones violated the Florida securities & investor protection act, with regards to the temporary operation of six branch offices for which it had assigned Florida licensed representatives and had submitted pending applications to the department, but for which it had not yet received approval from Florida. the applicant entered into a stipulation and consent agreement with Florida. without admitting or denying that these activities constituted violations of the Florida securities & investor protection act, applicant agreed to make a \$15,000 contribution to Florida's antifraud trust fund and to make certain ongoing changes to the supervision of its Florida offices. effective April 12, 1996, applicant was relieved of any ongoing special compliance requirements governing its Florida offices formerly imposed by the agreement.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$15,000.

Entity information Related to item 10(d)(2) Record: 20

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 1988-7-82

10(d)(2)(iii). Date of Action	12/01/1988
10(d)(2)(iv). The Court or body taking the Action and its location	Idaho Department of Finance
10(d)(2)(v). Description of the Action	The state of Idaho alleged applicant violated regulations regarding the supervision of securities-related activities of non-registered branch personnel. applicant entered a consensual agreement with the state in which, without admitting or denying the findings of the state, it agreed to develop and abide by written policies supervising the securities-related activities of non-registered branch personnel, to conduct adequate supervision thereof, to pay a fine of \$5,000, and to reimburse the state \$2,000 for its costs of investigation.
10(d)(2)(vi). The disposition of the proceeding	Monetary/Fine \$5,000.

Entity information Related to item 10(d)(2) Record: 21

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	File No. 8704-2
10(d)(2)(iii). Date of Action	02/01/1988
10(d)(2)(iv). The Court or body taking the Action and its location	Pennsylvania Securities Commissioner
10(d)(2)(v). Description of the Action	The state of Pennsylvania alleged Edward Jones violated of certain provisions of the Pennsylvania securities act of 1972 by engaging in transactions in Pennsylvania without having registered as a broker/dealer in the state. the applicant entered into a consensual settlement, and without admission or denial of guilt, Pennsylvania issued its order in which the applicant was censured, prohibited from engaging in any further transactions in Pennsylvania and from reapplying for registration for a period of 18 months, and paid a fine \$18,369.
10(d)(2)(vi). The disposition of the proceeding	Monetary/Fine \$18,269; and Censure.

Entity information Related to item 10(d)(2) Record: 22

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	SEC-2007-00021
10(d)(2)(iii). Date of Action	07/02/2010
10(d)(2)(iv). The Court or body taking the Action and its location	State of Virginia - Division of Securities
10(d)(2)(v). Description of the Action	In April 2002, the Virginia State Corporation Commission, Division of Securities and Retail Franchising (the "Division") commenced an investigation into Edward Jones based on actions of a former financial advisor and his recommendation for use of margin dating back to 1998. After investigating the matter, the Division alleged that Edward Jones conducted activity that constituted a violation of the Virginia Securities Act and provisions of the Code of Virginia: (i) by engaging in a transaction, practice or course of business which operates as a fraud or deceit upon a purchaser; (ii) by failing to make and keep true, accurate and current, and preserve the books and records relating to its business; (iii) by failing to establish, maintain and enforce written procedures; (iv) by failing to perform frequent examinations of all customer accounts to detect and prevent irregularities or abuses; and (v) by failing to review and receive written approval by the designated supervisor of the delegation by any customer of discretionary authority with respect to the customer's account. Edward Jones will offer to pay 50% of the equity losses incurred by four Virginia investors identified by the Division. Edward Jones will offer a rebate of 65%

of the margin interest paid by the Virginia investors identified to the Division and who had a margin loan between January 1, 1998 and June 30, 2001.

10(d)(2)(vi). The disposition of the proceeding

Settlement Agreement. See details in 10(d)(2)(v) above.

Entity information Related to item 10(d)(2) Record: 23

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

AP-10-15

10(d)(2)(iii). Date of Action

07/09/2010

10(d)(2)(iv). The Court or body taking the Action and its location

Missouri Securities Division

10(d)(2)(v). Description of the Action

In July 2009, the Missouri Securities Division (the "Division") began an investigation regarding the sale of a variable annuity to a client of Edward Jones who is now deceased. Upon completing its investigation, the Division alleged Edward Jones failed to reasonably supervise its financial advisor by failing to reasonably review the death benefit options available for the variable annuity.

10(d)(2)(vi). The disposition of the proceeding

Settlement Agreement. See details in 10(d)(2)(v) above.

Entity information Related to item 10(d)(2) Record: 24

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

08-012

10(d)(2)(iii). Date of Action

10/15/2008

10(d)(2)(iv). The Court or body taking the Action and its location

Maine Office of Securities

10(d)(2)(v). Description of the Action

The State of Maine Office of Securities investigated the actions of a former financial advisor for allegedly exercising discretion in two customer accounts, and investigated Edward Jones to determine whether it failed to reasonably supervise the financial advisor. Edward Jones and the Office of Securities have entered into a Consent Order which includes Edward Jones paying a \$10,000 fine, and which states that Edward Jones failed to reasonably supervise the financial advisor by failing to detect or take timely action regarding conflicting information provided by the financial advisor, and failed to detect or adequately investigate the financial advisor's use of discretion in two client accounts and to confirm the accuracy of its representations to the Office of Securities.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$10,000.

Entity information Related to item 10(d)(2) Record: 25

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

10-0504-CA

10(d)(2)(iii). Date of Action

12/22/2010

10(d)(2)(iv). The Court or body taking the Action and its location

State of Indiana Office of the Secretary of State, Securities Division

10(d)(2)(v). Description of the Action

In July 2009, the Indiana Secretary of State, Securities Division (the "State") alleged that Edward Jones failed to supervise the activities of a now deceased financial advisor.

Specifically, the State alleged the financial advisor was able to change the primary account holder and social security number on an account by submitting a form to the headquarters office without the required number of signatures, in violation of firm policy.

10(d)(2)(vi). The disposition of the proceeding

Monetary/Fine \$10,000.

Entity information Related to item 10(d)(2) Record: 26

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Consent Order Number: S-21-3243-22-CO01

10(d)(2)(iii). Date of Action

11/14/2022

10(d)(2)(iv). The Court or body taking the Action and its location

Washington State Department of Financial Institutions, Securities Division

10(d)(2)(v). Description of the Action

On November 14, 2022, Edward Jones entered into a consent order with the Washington State Department of Financial Institutions, Securities Division (the "Division"). The Division alleged that between 2017 and 2021, Edward Jones violated RCW 21.20.110(1)(j) by failing to supervise a former financial advisor, who the Division alleged received payments of gifts and loans totaling approximately \$550,000.00 from an elderly client without disclosing the payments to Edward Jones. The Division further alleged that Edward Jones failed to detect the financial advisor's undisclosed outside business. Upon becoming aware of the financial advisor's conduct, Edward Jones terminated the financial advisor on December 13, 2021.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the allegations, Edward Jones agreed to reasonably supervise its financial advisors, pay a fine of \$150,000 and investigative costs of \$25,000.

Entity information Related to item 10(d)(2) Record: 27

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket Number: 240001 (SEC-CAO)

10(d)(2)(iii). Date of Action

01/12/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Pennsylvania Department of Banking and Securities

10(d)(2)(v). Description of the Action

In the fall of 2023, Edward Jones identified a historical compliance deficiency in connection with the Pennsylvania investment adviser representative registration requirement and self-reported the same to the Pennsylvania Department of Banking and Securities ("the Department"). On January 12, 2024, Edward Jones and the Department entered into a Consent Order ("the Order"). The Department alleged that from in or about January 2015 through the present, Edward Jones failed to register at least one employee as an investment adviser representative in Pennsylvania in violation of Section 301(c.1)(1)(ii) of the Pennsylvania Securities Act of 1972 ("the 1972 Act").

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the findings in the Order, Edward Jones agreed to pay a monetary fine of \$300,000 and to comply with the relevant provision of the 1972 Act.

Entity information Related to item 10(d)(2) Record: 28

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DOCKET/CASE NUMBER: 23211-AG24-0425-075

10(d)(2)(iii). Date of Action

10/10/2024

10(d)(2)(iv). The Court or body taking the

INDIANA DEPARTMENT OF INSURANCE

Action and its location

10(d)(2)(v). Description of the Action

The Enforcement Division of the Indiana Department of Insurance alleged that Edward Jones violated an insurance law and was liable for a civil penalty under Indiana Code Section 27-1-15.6-12(b)(2) in connection with Edward Jones' failure to disclose its January 2024 Consent Agreement and Order with the Pennsylvania Department of Banking and Securities to the Indiana Department of Insurance in a timely manner.

10(d)(2)(vi). The disposition of the proceeding

On March 20, 2024, Edward Jones reported its January 2024 Consent Agreement with the Pennsylvania Department of Banking and Securities (the "Pennsylvania Order") to the Indiana Department of Insurance (the "Department") and advised the Department of its inadvertent omission of the Pennsylvania Order in the Firm's January 22, 2024 renewal application for its Indiana nonresident producer business entity license. Pursuant to Indiana Code Section 27-1-15.6-12(b)(2), the Commissioner may levy a civil penalty on an insurance producer's license for violating an insurance law, including Indiana Code Section 27-1-15.6-17(a). Edward Jones agreed to pay a civil penalty of \$1,000.00.

Entity information Related to item 10(d)(2) Record: 29

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

FILE NO. 84787

10(d)(2)(iii). Date of Action

08/13/2024

10(d)(2)(iv). The Court or body taking the Action and its location

MINNESOTA DEPARTMENT OF COMMERCE

10(d)(2)(v). Description of the Action

THE MINNESOTA DEPARTMENT OF COMMERCE ALLEGED THAT EDWARD JONES VIOLATED MINN. R. 2876.5021 SUBP. 1 WHEN IT RECEIVED NOTICE OF A UNIFORM COMMERCIAL CODE COLLATERAL LIEN ON A CUSTOMER ACCOUNT AND GAVE THE CUSTOMER AN INCORRECT TOTAL OF HER ASSETS SUBJECT TO THE LIEN AND DID NOT TIMELY PROVIDE THE CUSTOMER WITH HER COLLATERAL-FREE ACCOUNT BALANCE.

10(d)(2)(vi). The disposition of the proceeding

ON AUGUST 13, 2024, EDWARD JONES ENTERED INTO A CIVIL PENALTY AGREEMENT WITH THE MINNESOTA DEPARTMENT OF COMMERCE TO RESOLVE THIS MATTER. THE CIVIL PENALTY AGREEMENT WAS PUBLISHED OCTOBER 28, 2024. PURSUANT TO THE CIVIL PENALTY AGREEMENT, EDWARD JONES AGREED TO PAY A CIVIL PENALTY OF \$2,000 AND TO CEASE AND DESIST FROM VIOLATING ANY LAWS, RULES, OR ORDERS RELATED TO THE DUTIES AND RESPONSIBILITIES ENTRUSTED TO THE COMMISSIONER OF THE MINNESOTA DEPARTMENT OF COMMERCE. EDWARD JONES PAID THE PENALTY ON AUGUST 19, 2024.

Entity information Related to item 10(d)(2) Record: 30

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P

10(d)(2)(ii). Title of Action

Order No. 23-106-S

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Alaska Department of Commerce, Community, and Economic Development Division of Banking and Securities

10(d)(2)(v). Description of the Action

Pursuant to Alaska Statute 3 AAC 08.030(a)(2) the State Of Alaska Department Of Commerce, Community, And Economic Development Division Of Banking And Securities alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment advisor and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The State of Alaska Department Of Commerce, Community, And Economic Development Division Of Banking And Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 3 AAC 08.030(a)(2). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Alaska.

Entity information Related to item 10(d)(2) Record: 31

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. S-23-0013/ Order No. S-23-0013-23-Or01

10(d)(2)(iii). Date of Action

12/23/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Arkansas Securities Commissioner

10(d)(2)(v). Description of the Action

Pursuant to Ark. Code Ann. Section 23-42-301(f) and Rule 301.01(c)(2), the Arkansas Securities Commissioner alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment advisor and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Arkansas Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Ark. Code Ann. Section 23-42-301(f) and Rule 301.01(c)(2). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Arkansas Securities Department. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(2) Record: 32

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CRD No. 250

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of California Department of Financial Protection and Innovation

10(d)(2)(v). Description of the Action

Pursuant to Corporations Code Section 25218 and Code of Regulations, title 10, section 260.218.4, the State of California's Commissioner of the Department of Financial Protection and Innovation alleged that, during the period of approximately July 1, 2016 to June 3, 2018, ("the Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment advisor and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commissioner of the Department of Financial Protection and Innovation found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Corporations Code Section 25218 and Code of Regulations, title 10, section 260.218.4. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72, payable to the California Department of Financial Protection and Innovation.

Entity information Related to item 10(d)(2) Record: 33

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	2023-CDS-019
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	The Colorado Securities Commission
10(d)(2)(v). Description of the Action	Pursuant to sections 11-51-410(1)(i), 11-51-606(2)(a) and (b)(II), C.R.S. of the Colorado Securities Act, the Securities Commissioner - State Of Colorado alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The State of Colorado's Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of sections 11-51-606(2)(a) and (b)(II), C.R.S. of the Colorado Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of Colorado.

Entity information Related to item 10(d)(2) Record: 34

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	CO-23-11056-S
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State Of Connecticut's Department Of Banking Securities And Business Investments Division
10(d)(2)(v). Description of the Action	Pursuant to Section 36b-31-6f(b) of the Regulations of Connecticut State Agencies, the State Of Connecticut's Department Of Banking Securities and Business Investments Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	State Of Connecticut's Department of Banking Securities And Business Investments Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation 36b-31-6f(b) of the Regulations of Connecticut State Agencies. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Treasurer, State of Connecticut. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(2) Record: 35

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Investor Protection Case No.: 23-0136
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the	The Delaware Investor Protection Unit

Action and its location

10(d)(2)(v). Description of the Action

Pursuant, to Rule 609(b)(4)(a) of the Rules Pursuant to the Delaware Securities Act, the Investor Protection Director of The State Of Delaware alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Investor Protection Director of The State Of Delaware found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Rule 609(b)(4)(a) of the Delaware Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Investor Protection Fund of the State of Delaware.

Entity information Related to item 10(d)(2) Record: 36

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Matter No. ENSC-241123

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Georgia Commissioner of Securities

10(d)(2)(v). Description of the Action

Pursuant, to Rule 590-4-5-.12 of the Georgia Uniform Securities Act, the Commissioner of Securities of the State of Georgia alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period", Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commissioner of Securities of the State of Georgia found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of O.C.G.A. Rule 590-4-5-.12. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Georgia Secretary of State Revenue.

Entity information Related to item 10(d)(2) Record: 37

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co. L.P.

10(d)(2)(ii). Title of Action

SEB20230062

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of Hawaii Department of Commerce and Consumer Affairs

10(d)(2)(v). Description of the Action

Pursuant to Hawaii Revised Statutes section 485A-412(d)(9) the Hawaii Department of Commerce and Consumer Affairs alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the

The Hawaii Department of Commerce and Consumer Affairs found that Edward Jones did

proceeding

not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Hawaii Revised Statutes section 485A-412(d)(9). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the general fund of the State of Hawaii.

Entity information Related to item 10(d)(2) Record: 38

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

2023-7-06

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Department of Finance of The State Of Idaho

10(d)(2)(v). Description of the Action

Pursuant to Idaho Administrative Procedures Act Rule 12.01.08.105.03 the Idaho Department of Finance alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Idaho Department of Finance found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Idaho Administrative Procedures Act Rule 12.01.08.105.03. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the general fund of the Finance Department of Idaho.

Entity information Related to item 10(d)(2) Record: 39

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. 2300475

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Illinois Securities Department

10(d)(2)(v). Description of the Action

Pursuant to Section 8.E(1)(e)(iv) of the Illinois Securities Law of 1953, the Illinois Securities Division as administrator of the Illinois Securities Law, alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Illinois Securities Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Section 8.E(1)(e)(iv) of the Illinois Securities Law of 1953. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Illinois Securities Department.

Entity information Related to item 10(d)(2) Record: 40

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action	23-0017 CA
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	The Indiana Office of the Secretary of State Securities Division
10(d)(2)(v). Description of the Action	Pursuant to 710 I.A.C. Section 4-7-6(d)(1) of the Indiana Uniform Securities Act, the Indiana Securities Division as administrator of the Indiana Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Indiana Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 710 I.A.C. Section 4-7-6(d)(1) of the Indiana Uniform Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to State of Indiana Secretary of State Notary. Furthermore, as Indiana served as a Lead State in this matter, Edward Jones will also pay an additional \$15,000.00 payable for investigatory costs.

Entity information Related to item 10(d)(2) Record: 41

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Case No. 119293
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	The Iowa Insurance Division
10(d)(2)(v). Description of the Action	Pursuant to Iowa Code section 502.412(4)(i), the Iowa Insurance Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Iowa Insurance Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Iowa Code section 502.412(4)(i). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Iowa Insurance Division's Enforcement Fund.

Entity information Related to item 10(d)(2) Record: 42

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Docket No. 24 E 016 / KSC No. 2024-6907
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	Kansas Securities Commission
10(d)(2)(v). Description of the Action	Pursuant to Kansas Uniform Securities Act section 17-12a412(c), the Securities

Commissioner of the State of Kansas alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Commissioner Of the State Of Kansas found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Kansas Uniform Securities Act section 17-12a412(c). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Kansas Insurance Department.

Entity information Related to item 10(d)(2) Record: 43

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Securities Docket No. 2023-0261

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Commissioner of Maryland

10(d)(2)(v). Description of the Action

Pursuant to Section 11-412(a)(10) of the Maryland Securities Act, the Securities Commissioner of Maryland alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Commissioner of Maryland found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of section 412(a)(10) of the Maryland Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Maryland, Maryland Office of the Attorney General.

Entity information Related to item 10(d)(2) Record: 44

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

E-2018-0048

10(d)(2)(iii). Date of Action

12/24/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Commonwealth Of Massachusetts, Office Of The Secretary Of The Commonwealth Securities Division

10(d)(2)(v). Description of the Action

Pursuant to Mass. Gen. Laws c. 110A, section 204(a)(2)(J), the Commonwealth Of Massachusetts, Office Of The Secretary Of The Commonwealth Securities Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commonwealth Of Massachusetts, Office Of The Secretary of The Commonwealth Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Mass. Gen. Laws c.

110A, section 204(a)(2)(J). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Commonwealth of Massachusetts Secretary of State.

Entity information Related to item 10(d)(2) Record: 45

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ENF-23-020101

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Michigan Department of Licensing and Regulatory Affairs, Corporations, Securities, and Commercial Licensing Bureau

10(d)(2)(v). Description of the Action

Pursuant to MCL 451.2412(4)(i) of the Michigan Uniform Securities Act, the Director of the Corporations, Securities, and Commercial Licensing Bureau ("Bureau") within the State of Michigan, Department of Licensing and Regulatory Affairs alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of MCL 451.2412(4)(i) of the Michigan Uniform Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State Treasurer, State of Michigan. Furthermore, as Michigan served as a Lead State in this matter, Edward Jones will pay \$15,000.00 to for investigatory costs.

Entity information Related to item 10(d)(2) Record: 46

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

AP-23-18

10(d)(2)(iii). Date of Action

12/19/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Enforcement Section of the Missouri Securities Division of the Office of Secretary of State

10(d)(2)(v). Description of the Action

Pursuant to 15 CSR 30-51.171(2)(A) of the Missouri Securities Act of 2003, the Enforcement Section of the Missouri Securities Division of the Office of Secretary of State alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Enforcement Section of the Missouri Securities Division of the Office of Secretary of State found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 15 CSR 30-51.171(2)(A) of the Missouri Securities Act of 2003. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Missouri Secretary of State Investor Education and Protection Fund.

Entity information Related to item 10(d)(2) Record: 47

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	SEC-2023-00223
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	The Commissioner of Securities and Insurance, Office Of The Montana State Auditor
10(d)(2)(v). Description of the Action	Pursuant to Mont. Code Ann. section 30-10-201(13)(k), the Commissioner of Securities and Insurance, Office Of The Montana State Auditor, alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Commissioner of Securities and Insurance, Office Of The Montana State Auditor found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Mont. Code Ann. section 30-10-201(13)(k). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Montana. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(2) Record: 48

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	CRD #250
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	The Nebraska Department of Banking and Finance
10(d)(2)(v). Description of the Action	Pursuant to Securities Act of Nebraska, Neb. Rev. Stat Section 8-1103(9)(a)(xi) of the Act, the Nebraska Department of Banking and Finance alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Nebraska Department of Banking and Finance found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of the Securities Act of Nebraska, Neb. Rev. Stat Section 8-1103(9)(a)(xi). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Nebraska Department Of Banking and Finance.

Entity information Related to item 10(d)(2) Record: 49

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	File No. INV23-171
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of Nevada Office of The Secretary of State Securities Division

10(d)(2)(v). Description of the Action

Pursuant to NRS 90.420(1)(l), the State Of Nevada Office Of The Secretary Of State Securities Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

State of Nevada Office of The Secretary of State Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of NRS 90.420(1)(l). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Nevada Secretary of State. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(2) Record: 50

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CRD #250

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of North Dakota Securities Department

10(d)(2)(v). Description of the Action

Pursuant to N.D.C.C. section 10-04-11(1)(m), the North Dakota Securities Commissioner, as administrator of the Securities Act (the "Securities Commissioner"), alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.D.C.C. section 10-04-11(1)(m) of the North Dakota Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the North Dakota Securities Department.

Entity information Related to item 10(d)(2) Record: 51

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

No. 24-097

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Attorney General Of the State of New York Investor Protection Bureau

10(d)(2)(v). Description of the Action

Pursuant to Executive Law Section 63(15), the Attorney General Of the State of New York Investor Protection Bureau ("Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the

The Bureau found that Edward Jones did not have reasonably designed procedures with

proceeding

respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Executive Law Section 63(15). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Bureau.

Entity information Related to item 10(d)(2) Record: 52

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. S-23-0046

10(d)(2)(iii). Date of Action

12/26/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of Oregon Department of Consumer and Business Services Division of Financial Regulation

10(d)(2)(v). Description of the Action

Pursuant to Oregon Administrative Rule ("OAR") 660:11-5-42(b)(22)(A), the Director of the Department of Consumer and Business Services ("Director") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of OAR 660:11-5-42(b)(22) (A). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Oregon Department of Consumer & Business Services.

Entity information Related to item 10(d)(2) Record: 53

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket No. 240047 (SEC-CAO)

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Commonwealth of Pennsylvania Department of Banking and Securities

10(d)(2)(v). Description of the Action

Pursuant to 10 Pa. Code section 305.011 (a), the Department of Banking and Securities ("Department") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 10 Pa. Code section 305.011 (a). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Department of Banking and Securities.

Entity information Related to item 10(d)(2) Record: 54

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CRD #250

10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	Commonwealth of Puerto Rico Office of the Commissioner of Financial Institutions
10(d)(2)(v). Description of the Action	Pursuant to Article 204(a)(2)(J) of Puerto Rico Uniform Securities Act ("PRUSA") and Article 28 of Regulation No. 6078 of January 19, 2000, as amended, known as "Regulation under the Uniform Securities Act ("Regulation 6078"), the Office of the Commissioner of Financial Institutions Act (the "Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Article 204(a)(2)(J) of PRUSA and Regulation 6078. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Department of Treasury of the Commonwealth of Puerto Rico.

Entity information Related to item 10(d)(2) Record: 55

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	DBR NO. 2023-SC-003
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	STATE OF RHODE ISLAND DEPARTMENT OF BUSINESS REGULATION SECURITIES DIVISION
10(d)(2)(v). Description of the Action	Pursuant to R.I. Gen. Laws section 7-11-212(b)(11), the Director of the Department of Business Regulation ("Director") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of R.I. Gen. Laws section 7-11-212(b)(11). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the General Fund of the State of Rhode Island.

Entity information Related to item 10(d)(2) Record: 56

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Matter No. 20233326
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	SECURITIES COMMISSIONER OF SOUTH CAROLINA
10(d)(2)(v). Description of the Action	Pursuant to S.C. Code Ann. section 35-1-412(d)(9), the Securities Commissioner of South Carolina (the "Securities Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those

securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of S.C. Code Ann. section 35-1-412(d)(9). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Office of the Attorney General of the State of South Carolina.

Entity information Related to item 10(d)(2) Record: 57

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DOCKET NO. 23-016-S

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of Vermont Department of Financial Regulation

10(d)(2)(v). Description of the Action

Pursuant to V.S.R. section 2-2 of the Vermont Uniform Securities Act ("Act"), the Commissioner of Financial Regulation (the "Commissioner") for the State of Vermont alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of V.S.R. section 2-2 of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$272,641.52 to the Department of Financial Regulation, as well as providing a contribution of \$48,113.20 to the Vermont Financial Services Education and Victim Restitution Special Fund.

Entity information Related to item 10(d)(2) Record: 58

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Order No. S-19-2768-23-CO01

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Division of the Washington State Department of Financial Institutions

10(d)(2)(v). Description of the Action

Pursuant to RCW 21.20.110(1)(j) of the Securities Act of Washington (the "Act"), the Securities Division of the Washington State Department of Financial Institutions (the "Securities Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of RCW 21.20.110(1)(j) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an

administrative monetary fine of \$320,754.72 to the Securities Division, plus an additional \$15,000 to cover investigatory costs incurred by the Securities Division while serving as a lead state in this matter spanning multiple states.

Entity information Related to item 10(d)(2) Record: 59

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ORDER NO: SB-CO-04-23

10(d)(2)(iii). Date of Action

12/30/2024

10(d)(2)(iv). The Court or body taking the Action and its location

District of Columbia Department of Insurance, Securities and Banking

10(d)(2)(v). Description of the Action

Pursuant to D.C. Official Code section 31-5602.07 (a)(12) of the District of Columbia Securities Act of 2000 ("the D.C. Securities Act"), the Commissioner of the D.C. Department of Insurance, Securities and Banking ("the Department") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of D.C. Official Code section 31-5602.07 (a)(12) of the D.C. Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the D.C. Treasurer.

Entity information Related to item 10(d)(2) Record: 60

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Matter No. 23-0071

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of West Virginia, West Virginia Securities Commission

10(d)(2)(v). Description of the Action

Pursuant to section 32-2-204(a)(2)(J) of the West Virginia Uniform Securities Act (the "Securities Act"), the West Virginia Securities Commission (the "Securities Commission") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 32-2-204(a)(2)(J) of the Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of West Virginia.

Entity information Related to item 10(d)(2) Record: 61

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DFI Case No. S-248377 (LX)

10(d)(2)(iii). Date of Action	12/30/2024
10(d)(2)(iv). The Court or body taking the Action and its location	Wisconsin Department of Financial Institutions, Division of Securities
10(d)(2)(v). Description of the Action	Pursuant to Wis. Admin. Code section DFI-Sec. 4.05(2) of the Wisconsin Uniform Securities Law, Chapter 551 ("the Act"), the Wisconsin Department of Financial Institutions, Division of Securities (the "Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Wis. Admin. Code section DFI-Sec. 4.05(2) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 and \$15,000.00 in investigatory costs to the State of Wisconsin.

Entity information Related to item 10(d)(2) Record: 62

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Matter No. 2023-02
10(d)(2)(iii). Date of Action	12/23/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of Wyoming, Compliance Division of the Wyoming Secretary of State
10(d)(2)(v). Description of the Action	Pursuant to W.S. 17-4-412(d)(ix) of the Wyoming Uniform Securities Act ("the Act"), the Wyoming Secretary of State alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Wyoming Secretary of State found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of W.S. 17-4-412(d)(ix) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Wyoming Secretary of State.

Entity information Related to item 10(d)(2) Record: 63

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	ODS File 24-001
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of Oklahoma Department of Securities
10(d)(2)(v). Description of the Action	Pursuant to Rule 660:11-5-42(b)(22)(A) of the Oklahoma Uniform Securities Act of 2004 (the "Act"), the Administrator of the Oklahoma Department of Securities (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged

Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Rule 660:11-5-42(b)(22)(A) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Oklahoma State Treasurer.

Entity information Related to item 10(d)(2) Record: 64

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Order No. IC-25-CAF-01

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Texas State Securities Board

10(d)(2)(v). Description of the Action

Pursuant to section 115.10(a)(1) of 7 Tex. Admin. Code sections 101.1-139.27 (2022) (Tex. State Sec. Bd.) (the "Board Rules"), the Texas Securities Commissioner (the "Commissioner") as administrator of the Texas Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 115.10(a)(1) of the Board Rules. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72, plus an additional \$15,000 for Texas serving as the lead state in this matter that has spanned multiple states, to the State of Texas.

Entity information Related to item 10(d)(2) Record: 65

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket No.: 2023-003

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

U.S. Virgin Islands Division of Banking, Insurance, and Financial Regulation

10(d)(2)(v). Description of the Action

Pursuant to Title 9 Ch. 23 section 642(d)(9) of the Virgin Islands Code ("VIC"), the Securities Administrator (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Title 9 Ch. 23 section 642(d)(9) of the VIC. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Government of the U.S. Virgin Islands.

Entity information Related to item 10(d)(2) Record: 66

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

116856-S

10(d)(2)(iii). Date of Action

01/07/2025

10(d)(2)(iv). The Court or body taking the Action and its location

The Florida Office of Financial Regulation

10(d)(2)(v). Description of the Action

Pursuant to sections 20.121(3)(a)(2) of the Florida Administrative Code, the Florida Office of Financial Regulation ("Office") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those

10(d)(2)(vi). The disposition of the proceeding

The Florida Office found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of sections 20.121(3)(a)(2) of the Florida Administrative Code. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Florida.

Entity information Related to item 10(d)(2) Record: 67

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CRD #250

10(d)(2)(iii). Date of Action

01/08/2025

10(d)(2)(iv). The Court or body taking the Action and its location

State of New Jersey Bureau of Securities

10(d)(2)(v). Description of the Action

Pursuant to N.J.S.A. 49:3-58(a)(2)(xi), the State of New Jersey Bureau of Securities (the "Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.J.S.A. 49:3-58(a)(2)(xi) of the New Jersey Securities Law. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 and \$15,000 in investigatory costs to the General Treasury of New Jersey.

Entity information Related to item 10(d)(2) Record: 68

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

NO. 2023-29

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Maine Office of Securities

10(d)(2)(v). Description of the Action

Pursuant to the Maine Office of Securities Rule Chapter 504 section 7(1), the Maine

10(d)(2)(vi). The disposition of the proceeding

Securities Administrator alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

The Maine Securities Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 504 section 7(1) of the Maine Office of Securities Rule. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Treasurer, State of Maine.

Entity information Related to item 10(d)(2) Record: 69

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

82356

10(d)(2)(iii). Date of Action

12/27/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The State of Minnesota, the Commissioner of Commerce

10(d)(2)(v). Description of the Action

Pursuant to Minn. Stat. section 80A.67(d)(9) of the Minnesota Securities Act and Minn. Stat. section 45.027 Subd. 6 and 7, the State of Minnesota, Commissioner of Commerce alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The State of Minnesota, Department of Commerce found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Minn. Stat. section 80A.67(d)(9) of the Minnesota Securities Act and Minn. Stat. section 45.027 Subd. 6 and 7. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Minnesota.

Entity information Related to item 10(d)(2) Record: 70

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

LS-23-6227

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Office Of The Mississippi Secretary Of State Securities Division

10(d)(2)(v). Description of the Action

Pursuant to 1 Mississippi Admin Code Pt. 14, R. 5.19 of the Mississippi Securities Act, the Office Of The Mississippi Secretary Of State, Securities Division, alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Office Of The Mississippi Secretary Of State, Securities Division, found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct

alleged, which constituted a violation of 1 Mississippi Admin Code Pt. 14, R. 5.19. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Mississippi Secretary of State's Office.

Entity information Related to item 10(d)(2) Record: 71

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

I-2023-000027

10(d)(2)(iii). Date of Action

12/24/2024

10(d)(2)(iv). The Court or body taking the Action and its location

State of New Hampshire Bureau of Securities Regulation

10(d)(2)(v). Description of the Action

Pursuant to NH RSA 421-B:4-401(f)(3)(B), the State of New Hampshire Bureau of Securities Regulation (the "Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of NH RSA 421-B:4-401(f)(3)(B) of the New Hampshire Uniform Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of New Hampshire.

Entity information Related to item 10(d)(2) Record: 72

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

FILE NO. 22SEC113

10(d)(2)(iii). Date of Action

01/02/2025

10(d)(2)(iv). The Court or body taking the Action and its location

State of North Carolina Department of the Secretary of State Securities Division

10(d)(2)(v). Description of the Action

Pursuant to N.C. Gen. Stat. section 78A-39(a1), the North Carolina Secretary of State as Administrator of the North Carolina Securities Act (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.C. Gen. Stat. section 78A-39(a1). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Final Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.00 to the North Carolina Secretary of State.

Entity information Related to item 10(d)(2) Record: 73

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Division Order No.: 25-001

10(d)(2)(iii). Date of Action	01/08/2025
10(d)(2)(iv). The Court or body taking the Action and its location	State of Ohio Department of Commerce Division of Securities
10(d)(2)(v). Description of the Action	Pursuant to O.A.C. section 1301:6-3-19(B)(9), the Ohio Division of Securities alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Ohio Division of Securities found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of O.A.C. sections 1301:6-3-19(B)(9) of the Ohio Administrative Code. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Ohio Investor Education and Enforcement Expense Fund.

Entity information Related to item 10(d)(2) Record: 74

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	CRD #250
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of South Dakota Department of Labor and Regulation, Division of Insurance
10(d)(2)(v). Description of the Action	Pursuant to ARSD 20:08:03:01(2)(B), the Director of the Division of Insurance (the "Director") as administrator of the South Dakota Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of ARSD 20:08:03:01(2) (B). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of South Dakota.

Entity information Related to item 10(d)(2) Record: 75

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Matter No.: 23-01039
10(d)(2)(iii). Date of Action	12/27/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of Tennessee Commissioner of Commerce and Insurance
10(d)(2)(v). Description of the Action	Pursuant to Tenn. Code Ann. section 48-1-112(a)(2)(J), the Commissioner of Commerce and Insurance for the State of Tennessee ("Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Tenn. Code Ann. section 48-1-112(a)(2)(J). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Tennessee Department of Commerce and Insurance.

Entity information Related to item 10(d)(2) Record: 76

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Administrative Order No. CA-2024-0032

10(d)(2)(iii). Date of Action

12/20/2024

10(d)(2)(iv). The Court or body taking the Action and its location

The Alabama Securities Commission

10(d)(2)(v). Description of the Action

Pursuant to Section 8-6-3(j)(10) of Title 8, Chapter 6, Code of Alabama, The Alabama Securities Commission alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Alabama Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Section 8-6-3(j)(10) of Title 8, Chapter 6, Code of Alabama. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Alabama Securities Commission.

Entity information Related to item 10(d)(2) Record: 77

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

2023-AH-0022

10(d)(2)(iii). Date of Action

12/27/2024

10(d)(2)(iv). The Court or body taking the Action and its location

Kentucky Department of Financial Institutions

10(d)(2)(v). Description of the Action

Pursuant to Chapter 808 KAR 10:030, section 4(1) of the Kentucky Revised Statutes, the Kentucky Department of Financial Institutions alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Kentucky Department of Financial Institutions found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 808 KAR 10:030, section 4(1) of the Kentucky Revised Statutes. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Kentucky State Treasurer.

Entity information Related to item 10(d)(2) Record: 78

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	OFI-2023-03
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	Louisiana Office of Financial Institutions
10(d)(2)(v). Description of the Action	Pursuant to 51:704(A)(9) of the Louisiana Securities Law (LSL), the Louisiana Office of Financial Institutions alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Louisiana Office of Financial Institutions found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 51:704(A)(9) of the Louisiana Securities Law. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Louisiana Office of Financial Institutions.

Entity information Related to item 10(d)(2) Record: 79

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Case No. MS-23-7-10
10(d)(2)(iii). Date of Action	12/20/2024
10(d)(2)(iv). The Court or body taking the Action and its location	State of New Mexico Regulation and Licensing Department Securities Division
10(d)(2)(v). Description of the Action	Pursuant to 12.11.4.10 NMAC, the Securities Division of the New Mexico Regulation and Licensing Department (the "Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(2)(vi). The disposition of the proceeding	The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 12.11.4.10 NMAC of the New Mexico Securities Law. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Division.

Entity information Related to item 10(d)(2) Record: 80

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Docket No.: SD-23-0031
10(d)(2)(iii). Date of Action	01/16/2025
10(d)(2)(iv). The Court or body taking the Action and its location	State of Utah Department of Commerce Division of Securities
10(d)(2)(v). Description of the Action	Pursuant to section 61-1-6(2)(a)(ii)(J) of the Utah Uniform Securities Act ("Act"), the Utah Division of Securities ("Division") alleged that, during the period of approximately

July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 61-1-6(2)(a)(ii)(J) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Division.

Entity information Related to item 10(d)(2) Record: 81

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DOCKET NO. S-21347A-25-0005

10(d)(2)(iii). Date of Action

02/19/2025

10(d)(2)(iv). The Court or body taking the Action and its location

The Arizona Corporation Commission

10(d)(2)(v). Description of the Action

Pursuant to A.R.S. sections 44-1961(A)(12) and (B)(1) and 44-2036, the State Of Arizona's Corporation Commission alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Arizona Corporation Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of A.R.S. sections 44-1961(A)(12) and (B)(1) and 44-2036. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of Arizona.

Entity information Related to item 10(d)(2) Record: 82

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. SEC-2024-00016

10(d)(2)(iii). Date of Action

02/18/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Commonwealth of Virginia State Corporation Commission

10(d)(2)(v). Description of the Action

Pursuant to 21 VAC-5-20-260 of the Virginia Securities Act (the "Act"), the Virginia State Corporation Commission (the "Commission") alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(2)(vi). The disposition of the proceeding

The Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 21 VAC-5-20-260 of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine

of \$320,754.72 to the Treasurer of Virginia.

Entity information Related to item 10(d)(2) Record: 83

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

No. 25A-006-INS

10(d)(2)(iii). Date of Action

04/09/2025

10(d)(2)(iv). The Court or body taking the Action and its location

The Arizona Department of Insurance and Financial Institutions

10(d)(2)(v). Description of the Action

The Arizona Department of Insurance and Financial Institutions ("Department") alleged Edward Jones violated an insurance law and was liable for a civil penalty under Arizona Revised Statutes Section 20-295(A)(2) in connection with its failure to forward beneficiary change forms to a client's insurance companies. Edward Jones did not contest that it failed to forward two annuity beneficiary change forms to its client's insurance companies. The Department found that failure to "demonstrate[] incompetence in the conduct of business" under Arizona Revised Statutes Section 20-295(A)(8). Therefore, pursuant to Section (A)(2), the Department imposed a civil penalty of \$250.00 for each form, for a total of \$500.00.

10(d)(2)(vi). The disposition of the proceeding

On April 9, 2025, Edward Jones entered into Consent Order with the Department to resolve this matter. Edward Jones paid the \$500.00 civil penalty on April 2, 2025.

Entity information Related to item 10(d)(2) Record: 84

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket No. 2025-0191

10(d)(2)(iii). Date of Action

06/04/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Division of the Office of the Secretary of the Commonwealth of Massachusetts

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association ("NASA"), the Securities Division of the Office of the Secretary of the Commonwealth of Massachusetts ("Division") alleged that, during the period of approximately May 1, 2020 to April 30, 2025 ("Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Mass. Gen. Laws c. 110A, Section 204(a)(2)(J).

10(d)(2)(vi). The disposition of the proceeding

On June 4, 2025, Edward Jones entered into a Consent Order with the Division to resolve this matter and, without admitting or denying the statement of facts or violations of law, agreed to the imposition of a censure, to cease and desist from conduct in violation of the Massachusetts Securities Act and the Regulations thereunder, to provide restitution to affected Massachusetts customers in an amount no less than \$114,782, to pay a \$100,000 administrative fine, to pay \$25,000 in investigation costs, and to comply with certain undertakings. The administrative fine and investigation costs were paid on June 17, 2025, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 85

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. S-25-0038

10(d)(2)(iii). Date of Action

09/04/2025

10(d)(2)(iv). The Court or body taking the Action and its location

STATE OF OREGON DEPARTMENT OF CONSUMER AND BUSINESS SERVICES
DIVISION OF FINANCIALREGULATION

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Director of the Department of Consumer and Business Services alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Oregon Revised Statutes 59.205(13) and Oregon Administrative Rule 441-205-0210(1).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Oregon Revised Statutes 59.205(13) and Oregon Administrative Rule 441-205-0210(1), to provide restitution to affected Oregon customers in an amount no less than \$203,494.79, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine was paid on September 17, 2025, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 86

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CASE NO.: 25-0060

10(d)(2)(iii). Date of Action

09/03/2025

10(d)(2)(iv). The Court or body taking the Action and its location

WEST VIRGINIA SECURITIES COMMISSION

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the West Virginia Securities Commission alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of West Virginia Uniform Securities Act, W. Va. Code Section 32-2-204(a)(2)(J).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of W. Va. Code Section 32-2-204(a)(2)(J), to provide restitution to affected West Virginia customers in an amount no less than \$58,901.77, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 87

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket No. 250026 (SEC-ORD)

10(d)(2)(iii). Date of Action

09/05/2025

10(d)(2)(iv). The Court or body taking the Action and its location

COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF BANKING AND SECURITIES

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Department of Banking and Securities alleged that, during the period of approximately

May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the Pennsylvania Securities Act, 70 P.S. Section 1-305(a)(vii).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 70 P.S. Section 1-305(a)(vii), to provide restitution to affected Pennsylvania customers in an amount no less than \$241,040.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 88

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DIVISION ORDER NO: 25-014

10(d)(2)(iii). Date of Action

09/25/2025

10(d)(2)(iv). The Court or body taking the Action and its location

OHIO DIVISION OF SECURITIES

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Ohio Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Ohio Revised Code 1707.19(A)(1)(i).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ohio Revised Code 1707.19(A)(1)(i), to provide restitution to affected Ohio customers in an amount no less than \$506,326.10, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 89

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ADMINISTRATIVE CONSENT ORDER

10(d)(2)(iii). Date of Action

10/09/2025

10(d)(2)(iv). The Court or body taking the Action and its location

THE SOUTH DAKOTA DIVISION OF INSURANCE

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The South Dakota Division of Insurance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of SDCL 47-31B-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of SDCL 47-31B-412(d)(9), to provide restitution to affected South Dakota customers in an

amount no less than \$51,621.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 90

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

No. CO-25-202525-S

10(d)(2)(iii). Date of Action

10/08/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Connecticut Banking Commissioner

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Banking Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 36b-31-6f(b) of the Regulations of Connecticut State Agencies promulgated under the Connecticut Uniform Securities Act ("Regulations").

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 36b-31-6f(b) of the Regulations, to provide restitution to affected Connecticut customers in an amount no less than \$72,702.37, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 91

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ODS FILE 25-232

10(d)(2)(iii). Date of Action

10/08/2025

10(d)(2)(iv). The Court or body taking the Action and its location

OKLAHOMA DEPARTMENT OF SECURITIES

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Oklahoma Department of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 1-411(d)(9) of the Oklahoma Uniform Securities Act.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of the Oklahoma Uniform Securities Act and the Rules thereunder, to provide restitution to affected Oklahoma customers in an amount no less than \$238,568.91, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 92

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DOCKET NO. 25-018-S

10(d)(2)(iii). Date of Action

10/09/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Vermont Department of Financial Regulation

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Vermont Department of Financial Regulation alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Vermont Securities Regulation Section 2-2(b)(2).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Vermont Securities Regulation Section 2-2(b)(2), to provide restitution to affected Vermont customers in an amount no less than \$33,919.48, to pay an administrative fine in the amount of \$85,000, to contribute \$15,000 to the Vermont Financial Services Education and Victim Restitution Special Fund, and to comply with certain undertakings. The administrative fine, the contribution, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 93

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ORDER NO. S-25-0017-25-OR01

10(d)(2)(iii). Date of Action

10/13/2025

10(d)(2)(iv). The Court or body taking the Action and its location

ARKANSAS SECURITIES COMMISSIONER

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Arkansas Securities Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Ark. Code Ann. Section 23-42-301(f)(1).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ark. Code Ann. Section 23-42-301(f)(1), to provide restitution to affected Arkansas customers in an amount no less than \$170,530.58, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 94

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Case No. MS 25-07-10-2

10(d)(2)(iii). Date of Action

10/14/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Division of the New Mexico Regulation and Licensing Department

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Director of the Securities Division of the New Mexico Regulation and Licensing Department alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the New Mexico Uniform Securities Act 1978 ("Act") Section 58-13C-412(C)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of the Act and the rules promulgated thereunder, to provide restitution to affected New Mexico customers in an amount no less than \$75,472.63, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 95

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Cause No. 25-0009 CA

10(d)(2)(iii). Date of Action

10/08/2025

10(d)(2)(iv). The Court or body taking the Action and its location

INDIANA SECRETARY OF STATE, SECURITIES DIVISION

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Indiana Securities Division and Indiana Securities Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of I.C. Section 23-19-4-12(d)(9) and 710 Section IAC 4-7-6(d).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of I.C. Sections 23-19-4-12(d)(9) and IAC Sections 4-7-6(d), to provide restitution to affected Indiana customers in an amount no less than \$431,170.81, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 96

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Docket No. SD-25-00-16

10(d)(2)(iii). Date of Action

10/23/2025

10(d)(2)(iv). The Court or body taking the Action and its location

UTAH DIVISION OF SECURITIES

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Utah Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the Utah Uniform Securities Act Section 61-1-6(2)(a)(ii)(J).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Utah Uniform Securities Act Section 61-1-6(2)(a)(ii)(J), to provide restitution to affected Indiana customers in an amount no less than \$58,049.54, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 97

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

CO-2025-0029

10(d)(2)(iii). Date of Action

11/17/2025

10(d)(2)(iv). The Court or body taking the Action and its location

ALABAMA SECURITIES COMMISSION

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Alabama Securities Commission alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Rule 830-X-3-.13(1).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Rule 830-X-3-.13(1), to provide restitution to affected Alabama customers in an amount no less than \$148,037.42, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 98

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ORDER NO. 25-61-S

10(d)(2)(iii). Date of Action

10/27/2025

10(d)(2)(iv). The Court or body taking the Action and its location

THE ALASKA DEPARTMENT OF COMMERCE, COMMUNITY, AND ECONOMIC DEVELOPMENT DIVISION OF BANKING AND SECURITIES

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Department of Commerce, Community, and Economic Development, Division of Banking and Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Alaska Statute 45.56.440(d)(9) of the Alaska Securities Act.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Alaska Statute 45.56.440(d)(9), to provide restitution to affected Alaska customers in an amount no less than \$28,642.40, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 99

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Administrative Consent Order

10(d)(2)(iii). Date of Action

11/19/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Delaware Department of Justice, Investor Protection Unit

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The Director of the Investor Protection Unit of the Delaware Department of Justice alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Delaware Securities Act, 6 Del. C. Section 73-304(a)(10).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 6 Del. C. Section 73-304(a)(10), to provide restitution to affected Delaware customers in an amount no less than \$30,736.41, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 100

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

SEB20250011

10(d)(2)(iii). Date of Action

11/17/2025

10(d)(2)(iv). The Court or body taking the Action and its location

STATE OF HAWAII DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities of the State of Hawaii alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Hawaii Revised Statutes ("HRS") 485A-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of HRS 485A-412(d)(9), to provide restitution to affected Hawaii customers in an amount no less than \$37,407.62, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 101

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

SB-2025-105

10(d)(2)(iii). Date of Action

11/14/2025

10(d)(2)(iv). The Court or body taking the Action and its location

THE IDAHO DEPARTMENT OF FINANCE

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The Director of the Idaho Department of Finance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Idaho Code ("I.C.") Section 30-14-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of I.C. Section 30-14-412(d)(9), to provide restitution to affected Idaho customers in an amount no less than \$89,909.43, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 102

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Administrative Consent Order

10(d)(2)(iii). Date of Action

11/17/2025

10(d)(2)(iv). The Court or body taking the Action and its location

State of Minnesota Department of Commerce

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Minnesota Commissioner of Commerce alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Minnesota Statute Section 80A.67(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Minnesota Statute Section 80A.67(d)(9), to provide restitution to affected Minnesota customers in an amount no less than \$261,074.01, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 103

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

SEC-2025-58A

10(d)(2)(iii). Date of Action

11/18/2025

10(d)(2)(iv). The Court or body taking the Action and its location

COMMISSIONER OF SECURITIES AND INSURANCE, OFFICE OF THE MONTANA STATE AUDITOR

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities and Insurance, Montana State Auditor's Office alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged

its customers a reasonable commission, in violation of Montana Code Annotated ("MCA") Section 30-10-201(13)(k).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of MCA Section 30-10-201(13)(k), to provide restitution to affected Montana customers in an amount no less than \$67,601.53, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 104

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

FINDINGS OF FACT CONCLUSIONS OF LAW AND CONSENT ORDER

10(d)(2)(iii). Date of Action

11/14/2025

10(d)(2)(iv). The Court or body taking the Action and its location

NEBRASKA DEPARTMENT OF BANKING AND FINANCE

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Nebraska Department of Banking and Finance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 8-1103(9)(a)(xi) of the Securities Act of Nebraska (the "Act").

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 8-1103(9)(a)(xi) of the Act, to provide restitution to affected Nebraska customers in an amount no less than \$134,041.05, to pay an administrative fine in the amount of \$10,000, investigation costs in the amount of \$15,000 and \$75,000 as settlement. The administrative fine, investigation costs, settlement, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 105

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

I-2025000054

10(d)(2)(iii). Date of Action

11/14/2025

10(d)(2)(iv). The Court or body taking the Action and its location

New Hampshire Department of State Bureau of Securities Regulation

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the New Hampshire Department of State Bureau of Securities Regulation alleged that, during the period of approximately May 1, 2020 to April 30, 2025 (the "Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of RSA Section 421-B:4-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of

New Hampshire Uniform Securities Act RSA Section 421-B:4-412(d)(9), to provide restitution to affected New Hampshire customers in an amount no less than \$63,079.49, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 106

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

AP-25-08

10(d)(2)(iii). Date of Action

12/15/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Enforcement Section of the Missouri Securities Division of the Office of the Secretary of State

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association ("NASAA"), the Enforcement Section of the Missouri Securities Division of the Office of the Secretary of State (the "Enforcement Section") alleged that, during the period of approximately May 1, 2020 to April 30, 2025 (the "Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of 15 CSR 30-51.171(2)(A).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 15 CSR 30-51.171(2)(A), to provide restitution to affected Missouri customers in an amount no less than \$526,569.72, to pay a monetary fine in the amount of \$125,000 (the amount paid includes an administrative fine in the amount of \$100,000, and investigation costs in the amount of \$25,000), and to comply with certain undertakings. The monetary fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 107

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

LID-25-CAF-01

10(d)(2)(iii). Date of Action

12/19/2025

10(d)(2)(iv). The Court or body taking the Action and its location

Texas State Securities Board

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Texas State Securities Board alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of section 115.10(a) of the Texas State Securities Board Rules ("Board Rules") promulgated under the Texas Securities Act.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of section 115.10(a) of the Board Rules, to provide restitution to affected Texas customers in an amount no less than \$1,074,395.63, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Consent Order

10(d)(2)(iii). Date of Action

02/20/2026

10(d)(2)(iv). The Court or body taking the Action and its location

State of California Department of Financial Protection and Innovation

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Financial Protection and Innovation alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of California Corporations Code section 25218 and California Code of Regulations, title 10, section 260.218.4.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of California Corporations Code section 25218 and California Code of Regulations, title 10, section 260.218.4, to provide restitution to affected California customers in an amount no less than \$520,434.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Order No: SB-CO-06-25

10(d)(2)(iii). Date of Action

03/26/2026

10(d)(2)(iv). The Court or body taking the Action and its location

District of Columbia Department of Insurance, Securities and Banking

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the District of Columbia Department of Insurance, Securities and Banking alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of D.C. Official Code Section 31-5602.07(a)(12).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of D.C. Official Code Section 31-5602.07(a)(12), to provide restitution to affected District of Columbia customers in an amount no less than \$8,783.59, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

ENSC-251262

10(d)(2)(iii). Date of Action	02/20/2026
10(d)(2)(iv). The Court or body taking the Action and its location	Commissioner of Securities for the State of Georgia
10(d)(2)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities for the State of Georgia alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Ga. Comp. R. & Regs. R. 590-4-5-.12(1) and O.C.G.A. Section 10-5-41(d)(9).
10(d)(2)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ga. Comp. R. & Regs. R. 590-4-5-.12(1) and O.C.G.A. Section 10-5-41(d)(9), to provide restitution to affected Georgia customers in an amount no less than \$384,825.28, to pay an administrative fine in the amount of \$100,000 of which \$20,000 will be retained for the cost of the investigation, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 111

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	File No.: 2500298
10(d)(2)(iii). Date of Action	02/20/2026
10(d)(2)(iv). The Court or body taking the Action and its location	Illinois Secretary of State Securities Department
10(d)(2)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Illinois Secretary of State Securities Department alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 8.E.1.e.iv of the Illinois Securities Law.
10(d)(2)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 8.E.1.e.iv of the Illinois Securities Law, to provide restitution to affected Illinois customers in an amount no less than \$654,428.95, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 112

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	LS-25-8149
10(d)(2)(iii). Date of Action	02/20/2026
10(d)(2)(iv). The Court or body taking the Action and its location	Mississippi Secretary of State Securities Division
10(d)(2)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Secretary of State of the State of Mississippi alleged that, during the period of

approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Mississippi Code Annotated Section 75-71-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Miss Code Ann. Section 75-71-412(d)(9), to provide restitution to affected Mississippi customers in an amount no less than \$82,132.41, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 113

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

File No. INV25-163

10(d)(2)(iii). Date of Action

04/01/2026

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Division of the Office of the Nevada Secretary of State

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Securities Division of the Office of the Nevada Secretary of State alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of NRS 90.420(1)(1) of the Nevada Uniform Securities Act.

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of NRS 90.420(1)(1), to provide restitution to affected Nevada customers in an amount no less than \$66,759.57, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 114

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Consent Order

10(d)(2)(iii). Date of Action

02/24/2026

10(d)(2)(iv). The Court or body taking the Action and its location

Puerto Rico Office of the Commissioner of Financial Institutions

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of the Puerto Rico Office of the Commissioner of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 204(a)(2)(J) of the Puerto Rico Uniform Securities Act ("PRUSA").

10(d)(2)(vi). The disposition of the

Without admitting or denying the statement of facts or violations of law, Edward Jones

proceeding

agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 204(a)(2)(J) of the PRUSA, to provide restitution to affected Puerto Rico customers in an amount no less than \$489.48, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 115

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Matter No. 20252027

10(d)(2)(iii). Date of Action

02/25/2026

10(d)(2)(iv). The Court or body taking the Action and its location

Securities Commissioner of South Carolina

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Securities Commissioner of South Carolina alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of S.C. Code Ann. Section 35-1-412(d)(9).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of S.C. Code Ann. Section 35-1-412(d)(9), to provide restitution to affected South Carolina customers in an amount no less than \$321,397.88, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 116

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

DFI Case No. S-251169 (LX)

10(d)(2)(iii). Date of Action

03/04/2026

10(d)(2)(iv). The Court or body taking the Action and its location

Wisconsin Department of Financial Institutions Division of Securities

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Wisconsin Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Wis. Admin. Code Section DFI-Sec 4.05(2).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Wis. Admin. Code Section DFI-Sec 4.05(2), to provide restitution to affected Wisconsin customers in an amount no less than \$334,797.49, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 117

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action	2025-DFI-0145
10(d)(2)(iii). Date of Action	04/13/2026
10(d)(2)(iv). The Court or body taking the Action and its location	Kentucky Department of Financial Institutions
10(d)(2)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Kentucky Department of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of 808 Kentucky Administrative Regulations ("KAR") 10:030, Sections 3 and 4(1).
10(d)(2)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 808 KAR 10:030, Sections 3 and 4(1), to provide restitution to affected Kentucky customers in an amount no less than \$181,263.55, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 118

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	Matter No. OFI-2025-02
10(d)(2)(iii). Date of Action	04/09/2026
10(d)(2)(iv). The Court or body taking the Action and its location	Louisiana Office of Financial Institutions
10(d)(2)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Louisiana Office of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Louisiana Securities Law Section 51:704(A)(9) and Louisiana Administrative Code 10:XIII.1901.
10(d)(2)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Louisiana Securities Law Section 51:704(A)(9) and Louisiana Administrative Code 10:XIII.1901, to provide restitution to affected Louisiana customers in an amount no less than \$180,147.98, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 119

10(d)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(2)(ii). Title of Action	FINAL ORDER 25ADM002
10(d)(2)(iii). Date of Action	05/12/2026
10(d)(2)(iv). The Court or body taking the Action and its location	North Carolina Department of the Secretary of State, Securities Division

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the North Carolina Department of the Secretary of State, Securities Division alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of N.C. Gen. Stat. Section 78A-39(a1).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of N.C. Gen. Stat. Section 78A-39(a1), to provide restitution to affected North Carolina customers in an amount no less than \$579,290.41, to pay a monetary fine in the amount of \$100,000 (the amount paid includes a civil penalty of \$10,000, and investigation costs in the amount of \$90,000), and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(2) Record: 120

10(d)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(2)(ii). Title of Action

Order No. S-25-3996-25-CO01

10(d)(2)(iii). Date of Action

05/05/2026

10(d)(2)(iv). The Court or body taking the Action and its location

Washington State Department of Financial Institutions, Securities Division

10(d)(2)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Washington State Department of Financial Institutions Securities Division alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of WAC 460-20C-150(1)(e).

10(d)(2)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of WAC 460-20C-150(1)(e), to provide restitution to affected Washington customers in an amount no less than \$361,844.96, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs, and restitution will be paid in accordance with the terms of the consent order.

10(d)(3). ever found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business Denied, suspended, revoked or restricted?

Yes No

10(d)(4). in the past ten years entered an order against the applicant or control affiliate in connection with investment-related activity?

Yes No

Entity information Related to item 10(d)(4) Record: 1

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

In the Matter of Edward D. Jones & Co., L.P., Case No. S-16-0017

10(d)(4)(iii). Date of Action	09/13/2018
10(d)(4)(iv). The Court or body taking the Action and its location	Arkansas Securities Department
10(d)(4)(v). Description of the Action	Consent Order The Arkansas Securities Department found that Edward Jones failed to establish, maintain and enforce a system to adequately supervise the activities of a financial advisor who violated firm-imposed trading restrictions and firm policies. The Department also found that Edward Jones failed to properly disclose a complaint and settlement involving the financial advisor, as well as the fact that the financial advisor was under internal review at the time of his termination.
10(d)(4)(vi). The disposition of the proceeding	Edward Jones entered into the AWC agreeing to pay a fine of \$50,000, conduct a review of its supervisory practices and to update the financial advisor's Form U5.

Entity information Related to item 10(d)(4) Record: 2

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	In the Matter of Edward D. Jones & Co., L.P, Case No. INV20-096
10(d)(4)(iii). Date of Action	08/05/2021
10(d)(4)(iv). The Court or body taking the Action and its location	Nevada Office of the Secretary of State - Securities Division
10(d)(4)(v). Description of the Action	The Nevada Securities Division alleged that Edward Jones failed to supervise a former financial advisor who had offered and sold personal seat licenses to an Edward Jones client in violation of Nevada Revised Statutes 90.420.
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the allegations, Edward Jones entered into an Administrative Consent Order agreeing to cease violations of the Nevada Securities Act, pay a civil penalty of \$50,000 and investigatory costs of \$2,762.57.

Entity information Related to item 10(d)(4) Record: 3

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Pennsylvania Department of Banking and Securities, Case No. 160043 (SEC-CAO)
10(d)(4)(iii). Date of Action	08/04/2016
10(d)(4)(iv). The Court or body taking the Action and its location	Commonwealth of Pennsylvania Department of Banking and Securities
10(d)(4)(v). Description of the Action	Consent Agreement and Order The Pennsylvania Department of Banking and Securities alleged that the Firm failed to supervise an agent in violation of the Pennsylvania Securities Act of 1972.
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the allegations, Edward Jones entered into a Consent Agreement and Order, agreeing to comply with the Pennsylvania Securities Act and pay an Administrative Assessment of \$135,000.00 & \$10,000.00 for the costs of investigation

Entity information Related to item 10(d)(4) Record: 4

10(d)(4)(i). The individuals named in the Action	Edward Jones
10(d)(4)(ii). Title of Action	In the Matter of Edward D. Jones & Co., L.P.
10(d)(4)(iii). Date of Action	12/20/2019
10(d)(4)(iv). The Court or body taking the Action and its location	State of South Dakota Division of Insurance, Department of Labor and Regulation

10(d)(4)(v). Description of the Action

Consent Order State of South Dakota Division of Insurance, Department of Labor and Regulation alleged that the Firm failed to supervise a single financial advisor in connection with that financial advisor's recommendation of certain mutual funds to the customer in violation of the South Dakota Securities Act and FINRA rules 2010 and 3110.

10(d)(4)(vi). The disposition of the proceeding

Consent order agreeing to pay the State of South Dakota Division of Insurance \$10,000 for investigatory costs and offer settlement to the customer in the amount of \$2,406.47.

Entity information Related to item 10(d)(4) Record: 5

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Consent Order Number: S-21-3243-22-CO01

10(d)(4)(iii). Date of Action

11/14/2022

10(d)(4)(iv). The Court or body taking the Action and its location

Washington State Department of Financial Institutions, Securities Division

10(d)(4)(v). Description of the Action

On November 14, 2022, Edward Jones entered into a consent order with the Washington State Department of Financial Institutions, Securities Division (the "Division"). The Division alleged that between 2017 and 2021, Edward Jones violated RCW 21.20.110(1) (j) by failing to supervise a former financial advisor, who the Division alleged received payments of gifts and loans totaling approximately \$550,000.00 from an elderly client without disclosing the payments to Edward Jones. The Division further alleged that Edward Jones failed to detect the financial advisor's undisclosed outside business. Upon becoming aware of the financial advisor's conduct, Edward Jones terminated the financial advisor on December 13, 2021.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the allegations, Edward Jones agreed to reasonably supervise its financial advisors, pay a fine of \$150,000 and investigative costs of \$25,000.

Entity information Related to item 10(d)(4) Record: 6

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket Number: 240001 (SEC-CAO)

10(d)(4)(iii). Date of Action

01/12/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Pennsylvania Department of Banking and Securities

10(d)(4)(v). Description of the Action

In the fall of 2023, Edward Jones identified a historical compliance deficiency in connection with the Pennsylvania investment adviser representative registration requirement and self-reported the same to the Pennsylvania Department of Banking and Securities ("the Department"). On January 12, 2024, Edward Jones and the Department entered into a Consent Order ("the Order"). The Department alleged that from in or about January 2015 through the present, Edward Jones failed to register at least one employee as an investment adviser representative in Pennsylvania in violation of Section 301(c.1)(1) (ii) of the Pennsylvania Securities Act of 1972 ("the 1972 Act").

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the findings in the Order, Edward Jones agreed to pay a monetary fine of \$300,000 and to comply with the relevant provision of the 1972 Act.

Entity information Related to item 10(d)(4) Record: 7

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Order No. 23-106-S

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Alaska Department of Commerce, Community, and Economic Development Division of Banking and Securities

10(d)(4)(v). Description of the Action

Pursuant to Alaska Statute 3 AAC 08.030(a)(2) the State Of Alaska Department Of Commerce, Community, And Economic Development Division Of Banking And Securities alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment advisor and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The State of Alaska Department Of Commerce, Community, And Economic Development Division Of Banking And Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 3 AAC 08.030(a)(2). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Alaska.

Entity information Related to item 10(d)(4) Record: 8

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. S-23-0013/ Order No. S-23-0013-23-Or01

10(d)(4)(iii). Date of Action

12/23/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Arkansas Securities Commissioner

10(d)(4)(v). Description of the Action

Pursuant to Ark. Code Ann. Section 23-42-301(f) and Rule 301.01(c)(2), the Arkansas Securities Commissioner alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment advisor and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Arkansas Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Ark. Code Ann. Section 23-42-301(f) and Rule 301.01(c)(2). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Arkansas Securities Department. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(4) Record: 9

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD No. 250

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of California Department of Financial Protection and Innovation

10(d)(4)(v). Description of the Action

Pursuant to Corporations Code Section 25218 and Code of Regulations, title 10, section 260.218.4, the State of California's Commissioner of the Department of Financial Protection and Innovation alleged that, during the period of approximately July 1, 2016 to June 3, 2018, ("the Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged

Edward Jones to serve as their investment advisor and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner of the Department of Financial Protection and Innovation found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Corporations Code Section 25218 and Code of Regulations, title 10, section 260.218.4. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72, payable to the California Department of Financial Protection and Innovation.

Entity information Related to item 10(d)(4) Record: 10

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

2023-CDS-019

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Colorado Securities Commission

10(d)(4)(v). Description of the Action

Pursuant to sections 11-51-410(1)(i), 11-51-606(2)(a) and (b)(II), C.R.S. of the Colorado Securities Act, the Securities Commissioner - State Of Colorado alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The State of Colorado's Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of sections 11-51-606(2)(a) and (b)(II), C.R.S. of the Colorado Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of Colorado.

Entity information Related to item 10(d)(4) Record: 11

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CO-23-11056-S

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State Of Connecticut's Department Of Banking Securities And Business Investments Division

10(d)(4)(v). Description of the Action

Pursuant to Section 36b-31-6f(b) of the Regulations of Connecticut State Agencies, the State Of Connecticut's Department Of Banking Securities and Business Investments Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

State Of Connecticut's Department of Banking Securities And Business Investments Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation 36b-31-6f(b) of the Regulations of Connecticut State Agencies. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an

administrative monetary fine of \$320,754.72 payable to the Treasurer, State of Connecticut. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(4) Record: 12

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Investor Protection Case No.: 23-0136

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Delaware Investor Protection Unit

10(d)(4)(v). Description of the Action

Pursuant, to Rule 609(b)(4)(a) of the Rules Pursuant to the Delaware Securities Act, the Investor Protection Director of The State Of Delaware alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Investor Protection Director of The State Of Delaware found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Rule 609(b)(4)(a) of the Delaware Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Investor Protection Fund of the State of Delaware.

Entity information Related to item 10(d)(4) Record: 13

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No. ENSC-241123

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Georgia Commissioner of Securities

10(d)(4)(v). Description of the Action

Pursuant, to Rule 590-4-5-.12 of the Georgia Uniform Securities Act, the Commissioner of Securities of the State of Georgia alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period", Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner of Securities of the State of Georgia found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of O.C.G.A. Rule 590-4-5-.12. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Georgia Secretary of State Revenue.

Entity information Related to item 10(d)(4) Record: 14

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

SEB20230062

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Hawaii Department of Commerce and Consumer Affairs

10(d)(4)(v). Description of the Action

Pursuant to Hawaii Revised Statutes section 485A-412(d)(9) the Hawaii Department of Commerce and Consumer Affairs alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Hawaii Department of Commerce and Consumer Affairs found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Hawaii Revised Statutes section 485A-412(d)(9). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the general fund of the State of Hawaii.

Entity information Related to item 10(d)(4) Record: 15

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

2023-7-06

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Department of Finance of The State Of Idaho

10(d)(4)(v). Description of the Action

Pursuant to Idaho Administrative Procedures Act Rule 12.01.08.105.03 the Idaho Department of Finance alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Idaho Department of Finance found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Idaho Administrative Procedures Act Rule 12.01.08.105.03. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the general fund of the Finance Department of Idaho.

Entity information Related to item 10(d)(4) Record: 16

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

File No. 2300475

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Illinois Securities Department

10(d)(4)(v). Description of the Action

Pursuant to Section 8.E(1)(e)(iv) of the Illinois Securities Law of 1953, the Illinois Securities Division as administrator of the Illinois Securities Law, alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Illinois Securities Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Section 8.E(1)(e)(iv) of the Illinois Securities Law of 1953. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Illinois Securities Department.

Entity information Related to item 10(d)(4) Record: 17

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

23-0017 CA

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Indiana Office of the Secretary of State Securities Division

10(d)(4)(v). Description of the Action

Pursuant to 710 I.A.C. Section 4-7-6(d)(1) of the Indiana Uniform Securities Act, the Indiana Securities Division as administrator of the Indiana Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Indiana Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 710 I.A.C. Section 4-7-6(d)(1) of the Indiana Uniform Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to State of Indiana Secretary of State Notary. Furthermore, as Indiana served as a Lead State in this matter, Edward Jones will also pay an additional \$15,000.00 payable for investigatory costs.

Entity information Related to item 10(d)(4) Record: 18

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. 119293

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Iowa Insurance Division

10(d)(4)(v). Description of the Action

Pursuant to Iowa Code section 502.412(4)(i), the Iowa Insurance Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Iowa Insurance Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Iowa Code section 502.412(4)(i). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Iowa Insurance Division's Enforcement Fund.

Entity information Related to item 10(d)(4) Record: 19

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Docket No. 24 E 016 / KSC No. 2024-6907
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	Kansas Securities Commission
10(d)(4)(v). Description of the Action	Pursuant to Kansas Uniform Securities Act section 17-12a412(c), the Securities Commissioner of the State of Kansas alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The Securities Commissioner Of the State Of Kansas found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Kansas Uniform Securities Act section 17-12a412(c). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Kansas Insurance Department.

Entity information Related to item 10(d)(4) Record: 20

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Securities Docket No. 2023-0261
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	Securities Commissioner of Maryland
10(d)(4)(v). Description of the Action	Pursuant to Section 11-412(a)(10) of the Maryland Securities Act, the Securities Commissioner of Maryland alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The Securities Commissioner of Maryland found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of section 412(a)(10) of the Maryland Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Maryland, Maryland Office of the Attorney General.

Entity information Related to item 10(d)(4) Record: 21

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	E-2018-0048
10(d)(4)(iii). Date of Action	12/24/2024
10(d)(4)(iv). The Court or body taking the Action and its location	Commonwealth Of Massachusetts, Office Of The Secretary Of The Commonwealth Securities Division
10(d)(4)(v). Description of the Action	Pursuant to Mass. Gen. Laws c. 110A, section 204(a)(2)(J), the Commonwealth Of

Massachusetts, Office Of The Secretary Of The Commonwealth Securities Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commonwealth Of Massachusetts, Office Of The Secretary of The Commonwealth Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Mass. Gen. Laws c. 110A, section 204(a)(2)(J). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Commonwealth of Massachusetts Secretary of State.

Entity information Related to item 10(d)(4) Record: 22

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ENF-23-020101

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Michigan Department of Licensing and Regulatory Affairs, Corporations, Securities, and Commercial Licensing Bureau

10(d)(4)(v). Description of the Action

Pursuant to MCL 451.2412(4)(i) of the Michigan Uniform Securities Act, the Director of the Corporations, Securities, and Commercial Licensing Bureau ("Bureau") within the State of Michigan, Department of Licensing and Regulatory Affairs alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of MCL 451.2412(4)(i) of the Michigan Uniform Securities Act. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State Treasurer, State of Michigan. Furthermore, as Michigan served as a Lead State in this matter, Edward Jones will pay \$15,000.00 to for investigatory costs.

Entity information Related to item 10(d)(4) Record: 23

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

AP-23-18

10(d)(4)(iii). Date of Action

12/19/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Enforcement Section of the Missouri Securities Division of the Office of Secretary of State

10(d)(4)(v). Description of the Action

Pursuant to 15 CSR 30-51.171(2)(A) of the Missouri Securities Act of 2003, the Enforcement Section of the Missouri Securities Division of the Office of Secretary of State alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Enforcement Section of the Missouri Securities Division of the Office of Secretary of State found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 15 CSR 30-51.171(2)(A) of the Missouri Securities Act of 2003. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Missouri Secretary of State Investor Education and Protection Fund.

Entity information Related to item 10(d)(4) Record: 24

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

SEC-2023-00223

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Commissioner of Securities and Insurance, Office Of The Montana State Auditor

10(d)(4)(v). Description of the Action

Pursuant to Mont. Code Ann. section 30-10-201(13)(k), the Commissioner of Securities and Insurance, Office Of The Montana State Auditor, alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner of Securities and Insurance, Office Of The Montana State Auditor found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Mont. Code Ann. section 30-10-201(13)(k). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Montana. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

Entity information Related to item 10(d)(4) Record: 25

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD #250

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Nebraska Department of Banking and Finance

10(d)(4)(v). Description of the Action

Pursuant to Securities Act of Nebraska, Neb. Rev. Stat Section 8-1103(9)(a)(xi) of the Act, the Nebraska Department of Banking and Finance alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Nebraska Department of Banking and Finance found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of the Securities Act of Nebraska, Neb. Rev. Stat Section 8-1103(9)(a)(xi). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Nebraska Department Of Banking and Finance.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

INV23-171

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Nevada Office of The Secretary of State Securities Division

10(d)(4)(v). Description of the Action

Pursuant to NRS 90.420(1)(l), the State Of Nevada Office Of The Secretary Of State Securities Division alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

State of Nevada Office of The Secretary of State Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of NRS 90.420(1)(l). Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Nevada Secretary of State. Edward Jones will additionally pay \$15,000.00 for investigatory costs.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD #250

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of North Dakota Securities Department

10(d)(4)(v). Description of the Action

Pursuant to N.D.C.C. section 10-04-11(1)(m), the North Dakota Securities Commissioner, as administrator of the Securities Act (the "Securities Commissioner"), alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.D.C.C. section 10-04-11(1)(m) of the North Dakota Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the North Dakota Securities Department.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

No. 24-097

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Attorney General Of the State of New York Investor Protection Bureau

10(d)(4)(v). Description of the Action

Pursuant to Executive Law Section 63(15), the Attorney General Of the State of New York Investor Protection Bureau ("Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Executive Law Section 63(15). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Bureau.

Entity information Related to item 10(d)(4) Record: 29

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. S-23-0046

10(d)(4)(iii). Date of Action

12/26/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Oregon Department of Consumer and Business Services Division of Financial Regulation

10(d)(4)(v). Description of the Action

Pursuant to Oregon Administrative Rule ("OAR") 660:11-5-42(b)(22)(A), the Director of the Department of Consumer and Business Services ("Director") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of OAR 660:11-5-42(b)(22) (A). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Oregon Department of Consumer & Business Services.

Entity information Related to item 10(d)(4) Record: 30

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket No. 240047 (SEC-CAO)

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Commonwealth of Pennsylvania Department of Banking and Securities

10(d)(4)(v). Description of the Action

Pursuant to 10 Pa. Code section 305.011 (a), the Department of Banking and Securities ("Department") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 10 Pa. Code section 305.011 (a). Without admitting or denying the Findings of Facts or Conclusions of Law

set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Department of Banking and Securities.

Entity information Related to item 10(d)(4) Record: 31

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD #250

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Commonwealth of Puerto Rico Office of the Commissioner of Financial Institutions

10(d)(4)(v). Description of the Action

Pursuant to Article 204(a)(2)(J) of Puerto Rico Uniform Securities Act ("PRUSA") and Article 28 of Regulation No. 6078 of January 19, 2000, as amended, known as "Regulation under the Uniform Securities Act ("Regulation 6078"), the Office of the Commissioner of Financial Institutions Act (the "Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Article 204(a)(2)(J) of PRUSA and Regulation 6078. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Department of Treasury of the Commonwealth of Puerto Rico.

Entity information Related to item 10(d)(4) Record: 32

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DBR NO. 2023-SC-003

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

STATE OF RHODE ISLAND DEPARTMENT OF BUSINESS REGULATION
SECURITIES DIVISION

10(d)(4)(v). Description of the Action

Pursuant to R.I. Gen. Laws section 7-11-212(b)(11), the Director of the Department of Business Regulation ("Director") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of R.I. Gen. Laws section 7-11-212(b)(11). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the General Fund of the State of Rhode Island.

Entity information Related to item 10(d)(4) Record: 33

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No. 20233326

10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	SECURITIES COMMISSIONER OF SOUTH CAROLINA
10(d)(4)(v). Description of the Action	Pursuant to S.C. Code Ann. section 35-1-412(d)(9), the Securities Commissioner of South Carolina (the "Securities Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The Securities Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of S.C. Code Ann. section 35-1-412(d)(9). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Office of the Attorney General of the State of South Carolina.

Entity information Related to item 10(d)(4) Record: 34

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	DOCKET NO. 23-016-S
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	State of Vermont Department of Financial Regulation
10(d)(4)(v). Description of the Action	Pursuant to V.S.R. section 2-2 of the Vermont Uniform Securities Act ("Act"), the Commissioner of Financial Regulation (the "Commissioner") for the State of Vermont alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of V.S.R. section 2-2 of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$272,641.52 to the Department of Financial Regulation, as well as providing a contribution of \$48,113.20 to the Vermont Financial Services Education and Victim Restitution Special Fund.

Entity information Related to item 10(d)(4) Record: 35

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	S-19-2768-23-CO01
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	Securities Division of the Washington State Department of Financial Institutions
10(d)(4)(v). Description of the Action	Pursuant to RCW 21.20.110(1)(j) of the Securities Act of Washington (the "Act"), the Securities Division of the Washington State Department of Financial Institutions (the "Securities Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably

designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Securities Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of RCW 21.20.110(1)(j) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Securities Division, plus an additional \$15,000 to cover investigatory costs incurred by the Securities Division while serving as a lead state in this matter spanning multiple states.

Entity information Related to item 10(d)(4) Record: 36

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ORDER NO: SB-CO-04-23

10(d)(4)(iii). Date of Action

12/30/2024

10(d)(4)(iv). The Court or body taking the Action and its location

District of Columbia Department of Insurance, Securities and Banking

10(d)(4)(v). Description of the Action

Pursuant to D.C. Official Code section 31-5602.07 (a)(12) of the District of Columbia Securities Act of 2000 ("the D.C. Securities Act"), the Commissioner of the D.C. Department of Insurance, Securities and Banking ("the Department") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Department found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of D.C. Official Code section 31-5602.07 (a)(12) of the D.C. Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the D.C. Treasurer.

Entity information Related to item 10(d)(4) Record: 37

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No. 23-0071

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of West Virginia, West Virginia Securities Commission

10(d)(4)(v). Description of the Action

Pursuant to section 32-2-204(a)(2)(J) of the West Virginia Uniform Securities Act (the "Securities Act"), the West Virginia Securities Commission (the "Securities Commission") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 32-2-204(a)(2)(J) of the Securities Act. Without admitting or denying the Findings of

Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of West Virginia.

Entity information Related to item 10(d)(4) Record: 38

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DFI Case No. S-248377 (LX)

10(d)(4)(iii). Date of Action

12/30/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Wisconsin Department of Financial Institutions, Division of Securities

10(d)(4)(v). Description of the Action

Pursuant to Wis. Admin. Code section DFI-Sec. 4.05(2) of the Wisconsin Uniform Securities Law, Chapter 551 ("the Act"), the Wisconsin Department of Financial Institutions, Division of Securities (the "Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Wis. Admin. Code section DFI-Sec. 4.05(2) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 and \$15,000.00 in investigatory costs to the State of Wisconsin.

Entity information Related to item 10(d)(4) Record: 39

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No. 2023-02

10(d)(4)(iii). Date of Action

12/23/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Wyoming, Compliance Division of the Wyoming Secretary of State

10(d)(4)(v). Description of the Action

Pursuant to W.S. 17-4-412(d)(ix) of the Wyoming Uniform Securities Act ("the Act"), the Wyoming Secretary of State alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Wyoming Secretary of State found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of W.S. 17-4-412(d)(ix) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Wyoming Secretary of State.

Entity information Related to item 10(d)(4) Record: 40

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ODS File 24-001

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Oklahoma Department of Securities

10(d)(4)(v). Description of the Action

Pursuant to Rule 660:11-5-42(b)(22)(A) of the Oklahoma Uniform Securities Act of 2004 (the "Act"), the Administrator of the Oklahoma Department of Securities (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Rule 660:11-5-42(b)(22)(A) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Oklahoma State Treasurer.

Entity information Related to item 10(d)(4) Record: 41

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Order No. IC-25-CAF-01

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Texas State Securities Board

10(d)(4)(v). Description of the Action

Pursuant to section 115.10(a)(1) of 7 Tex. Admin. Code sections 101.1-139.27 (2022) (Tex. State Sec. Bd.) (the "Board Rules"), the Texas Securities Commissioner (the "Commissioner") as administrator of the Texas Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 115.10(a)(1) of the Board Rules. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72, plus an additional \$15,000 for Texas serving as the lead state in this matter that has spanned multiple states, to the State of Texas.

Entity information Related to item 10(d)(4) Record: 42

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket No.: 2023-003

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

U.S. Virgin Islands Division of Banking, Insurance, and Financial Regulation

10(d)(4)(v). Description of the Action

Pursuant to Title 9 Ch. 23 section 642(d)(9) of the Virgin Islands Code ("VIC"), the Securities Administrator (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and

manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Title 9 Ch. 23 section 642(d)(9) of the VIC. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Government of the U.S. Virgin Islands.

Entity information Related to item 10(d)(4) Record: 43

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

116856-S

10(d)(4)(iii). Date of Action

01/07/2025

10(d)(4)(iv). The Court or body taking the Action and its location

The Florida Office of Financial Regulation

10(d)(4)(v). Description of the Action

Pursuant to sections 20.121(3)(a)(2) of the Florida Administrative Code, the Florida Office of Financial Regulation ("Office") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those

10(d)(4)(vi). The disposition of the proceeding

The Florida Office found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of sections 20.121(3)(a)(2) of the Florida Administrative Code. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Florida.

Entity information Related to item 10(d)(4) Record: 44

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD #250

10(d)(4)(iii). Date of Action

01/08/2025

10(d)(4)(iv). The Court or body taking the Action and its location

State of New Jersey Bureau of Securities

10(d)(4)(v). Description of the Action

Pursuant to N.J.S.A. 49:3-58(a)(2)(xi), the State of New Jersey Bureau of Securities (the "Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.J.S.A. 49:3-58(a)(2)(xi) of the New Jersey Securities Law. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 and \$15,000 in investigatory costs to the General Treasury of New Jersey.

Entity information Related to item 10(d)(4) Record: 45

10(d)(4)(i). The individuals named in the

Edward D. Jones & Co., L.P.

Action	
10(d)(4)(ii). Title of Action	NO. 2023-29
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	The Maine Office of Securities
10(d)(4)(v). Description of the Action	Pursuant to the Maine Office of Securities Rule Chapter 504 section 7(1), the Maine Securities Administrator alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The Maine Securities Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 504 section 7(1) of the Maine Office of Securities Rule. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Treasurer, State of Maine.

Entity information Related to item 10(d)(4) Record: 46

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	82356
10(d)(4)(iii). Date of Action	12/27/2024
10(d)(4)(iv). The Court or body taking the Action and its location	The State of Minnesota, the Commissioner of Commerce
10(d)(4)(v). Description of the Action	Pursuant to Minn. Stat. section 80A.67(d)(9) of the Minnesota Securities Act and Minn. Stat. section 45.027 Subd. 6 and 7, the State of Minnesota, Commissioner of Commerce alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.
10(d)(4)(vi). The disposition of the proceeding	The State of Minnesota, Department of Commerce found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Minn. Stat. section 80A.67(d)(9) of the Minnesota Securities Act and Minn. Stat. section 45.027 Subd. 6 and 7. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Minnesota.

Entity information Related to item 10(d)(4) Record: 47

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	LS-23-6227
10(d)(4)(iii). Date of Action	12/20/2024
10(d)(4)(iv). The Court or body taking the Action and its location	Office Of The Mississippi Secretary Of State Securities Division
10(d)(4)(v). Description of the Action	Pursuant to 1 Mississippi Admin Code Pt. 14, R. 5.19 of the Mississippi Securities Act, the Office Of The Mississippi Secretary Of State, Securities Division, alleged that, during

the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Office Of The Mississippi Secretary Of State, Securities Division, found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 1 Mississippi Admin Code Pt. 14, R. 5.19. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Mississippi Secretary of State's Office.

Entity information Related to item 10(d)(4) Record: 48

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

I-2023-000027

10(d)(4)(iii). Date of Action

12/24/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of New Hampshire Bureau of Securities Regulation

10(d)(4)(v). Description of the Action

Pursuant to NH RSA 421-B:4-401(f)(3)(B), the State of New Hampshire Bureau of Securities Regulation (the "Bureau") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Bureau found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of NH RSA 421-B:4-401(f)(3)(B) of the New Hampshire Uniform Securities Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of New Hampshire.

Entity information Related to item 10(d)(4) Record: 49

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

FILE NO. 22SEC113

10(d)(4)(iii). Date of Action

01/02/2025

10(d)(4)(iv). The Court or body taking the Action and its location

State of North Carolina Department of the Secretary of State Securities Division

10(d)(4)(v). Description of the Action

Pursuant to N.C. Gen. Stat. section 78A-39(a1), the North Carolina Secretary of State as Administrator of the North Carolina Securities Act (the "Administrator") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Administrator found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of N.C. Gen. Stat. section 78A-39(a1). Without admitting or denying the Findings of Facts or Conclusions of

Law set forth in the Final Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.00 to the North Carolina Secretary of State.

Entity information Related to item 10(d)(4) Record: 50

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Division Order No.: 25-001

10(d)(4)(iii). Date of Action

01/08/2025

10(d)(4)(iv). The Court or body taking the Action and its location

State of Ohio Department of Commerce Division of Securities

10(d)(4)(v). Description of the Action

Pursuant to O.A.C. section 1301:6-3-19(B)(9), the Ohio Division of Securities alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Ohio Division of Securities found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of O.A.C. sections 1301:6-3-19(B)(9) of the Ohio Administrative Code. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Ohio Investor Education and Enforcement Expense Fund.

Entity information Related to item 10(d)(4) Record: 51

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CRD #250

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of South Dakota Department of Labor and Regulation, Division of Insurance

10(d)(4)(v). Description of the Action

Pursuant to ARSD 20:08:03:01(2)(B), the Director of the Division of Insurance (the "Director") as administrator of the South Dakota Securities Act alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Director found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of ARSD 20:08:03:01(2)(B). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of South Dakota.

Entity information Related to item 10(d)(4) Record: 52

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No.: 23-01039

10(d)(4)(iii). Date of Action

12/27/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of Tennessee Commissioner of Commerce and Insurance

10(d)(4)(v). Description of the Action

Pursuant to Tenn. Code Ann. section 48-1-112(a)(2)(J), the Commissioner of Commerce and Insurance for the State of Tennessee ("Commissioner") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commissioner found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of Tenn. Code Ann. section 48-1-112(a)(2)(J). Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Tennessee Department of Commerce and Insurance.

Entity information Related to item 10(d)(4) Record: 53

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Administrative Order No. CA-2024-0032

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

The Alabama Securities Commission

10(d)(4)(v). Description of the Action

Pursuant to Section 8-6-3(j)(10) of Title 8, Chapter 6, Code of Alabama, The Alabama Securities Commission alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Alabama Securities Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of Section 8-6-3(j)(10) of Title 8, Chapter 6, Code of Alabama. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Alabama Securities Commission.

Entity information Related to item 10(d)(4) Record: 54

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

2023-AH-0022

10(d)(4)(iii). Date of Action

12/27/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Kentucky Department of Financial Institutions

10(d)(4)(v). Description of the Action

Pursuant to Chapter 808 KAR 10:030, section 4(1) of the Kentucky Revised Statutes, the Kentucky Department of Financial Institutions alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Kentucky Department of Financial Institutions found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 808 KAR 10:030, section 4(1) of the Kentucky Revised Statutes. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the Kentucky State Treasurer.

Entity information Related to item 10(d)(4) Record: 55

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

OFI-2023-03

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

Louisiana Office of Financial Institutions

10(d)(4)(v). Description of the Action

Pursuant to 51:704(A)(9) of the Louisiana Securities Law (LSL), the Louisiana Office of Financial Institutions alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Louisiana Office of Financial Institutions found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of 51:704(A)(9) of the Louisiana Securities Law. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 payable to the State of Louisiana Office of Financial Institutions.

Entity information Related to item 10(d)(4) Record: 56

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. MS-23-7-10

10(d)(4)(iii). Date of Action

12/20/2024

10(d)(4)(iv). The Court or body taking the Action and its location

State of New Mexico Regulation and Licensing Department Securities Division

10(d)(4)(v). Description of the Action

Pursuant to 12.11.4.10 NMAC, the Securities Division of the New Mexico Regulation and Licensing Department (the "Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 12.11.4.10 NMAC of the New Mexico Securities Law. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Division.

Entity information Related to item 10(d)(4) Record: 57

10(d)(4)(i). The individuals named in the

Edward D. Jones & Co., L.P.

Action

10(d)(4)(ii). Title of Action

Docket No.: SD-23-0031

10(d)(4)(iii). Date of Action

01/16/2025

10(d)(4)(iv). The Court or body taking the Action and its location

State of Utah Department of Commerce Division of Securities

10(d)(4)(v). Description of the Action

Pursuant to section 61-1-6(2)(a)(ii)(J) of the Utah Uniform Securities Act ("Act"), the Utah Division of Securities ("Division") alleged that, during the period of approximately July 1, 2016 to June 3, 2018, (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Division found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of section 61-1-6(2)(a)(ii)(J) of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Division.

Entity information Related to item 10(d)(4) Record: 58

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DOCKET NO. S-21347A-25-0005

10(d)(4)(iii). Date of Action

02/19/2025

10(d)(4)(iv). The Court or body taking the Action and its location

The Arizona Corporation Commission

10(d)(4)(v). Description of the Action

Pursuant to A.R.S. sections 44-1961(A)(12) and (B)(1) and 44-2036, the State Of Arizona's Corporation Commission alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones' procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Arizona Corporation Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted a violation of A.R.S. sections 44-1961(A)(12) and (B)(1) and 44-2036. Without admitting or denying the Findings of Fact or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the State of Arizona.

Entity information Related to item 10(d)(4) Record: 59

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. SEC-2024-00016

10(d)(4)(iii). Date of Action

02/18/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Commonwealth of Virginia State Corporation Commission

10(d)(4)(v). Description of the Action

Pursuant to 21 VAC-5-20-260 of the Virginia Securities Act (the "Act"), the Virginia State Corporation Commission (the "Commission") alleged that, during the period of approximately July 1, 2016 to June 3, 2018 (the "Investigation Period"), Edward Jones'

procedures were not reasonably designed with respect to the sale of certain Class A share mutual funds relative to the fee offsets provided when certain brokerage customers holding those securities engaged Edward Jones to serve as their investment adviser and manage those assets.

10(d)(4)(vi). The disposition of the proceeding

The Commission found that Edward Jones did not have reasonably designed procedures with respect to its activities as a broker-dealer during the Investigation Period that would have detected the conduct alleged, which constituted as a violation of 21 VAC-5-20-260 of the Act. Without admitting or denying the Findings of Facts or Conclusions of Law set forth in the Consent Order, Edward Jones agreed to pay an administrative monetary fine of \$320,754.72 to the Treasurer of Virginia.

Entity information Related to item 10(d)(4) Record: 60

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

No. 25A-006-INS

10(d)(4)(iii). Date of Action

04/09/2025

10(d)(4)(iv). The Court or body taking the Action and its location

The Arizona Department of Insurance and Financial Institutions

10(d)(4)(v). Description of the Action

The Arizona Department of Insurance and Financial Institutions ("Department") alleged Edward Jones violated an insurance law and was liable for a civil penalty under Arizona Revised Statutes Section 20-295(A)(2) in connection with its failure to forward beneficiary change forms to a client's insurance companies. Edward Jones did not contest that it failed to forward two annuity beneficiary change forms to its client's insurance companies. The Department found that failure to "demonstrate[] incompetence in the conduct of business" under Arizona Revised Statutes Section 20-295(A)(8). Therefore, pursuant to Section (A)(2), the Department imposed a civil penalty of \$250.00 for each form, for a total of \$500.00.

10(d)(4)(vi). The disposition of the proceeding

On April 9, 2025, Edward Jones entered into Consent Order with the Department to resolve this matter. Edward Jones paid the \$500.00 civil penalty on April 2, 2025.

Entity information Related to item 10(d)(4) Record: 61

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket No. 2025-0191

10(d)(4)(iii). Date of Action

06/04/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Securities Division of the Office of the Secretary of the Commonwealth of Massachusetts

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association ("NASAA"), the Securities Division of the Office of the Secretary of the Commonwealth of Massachusetts ("Division") alleged that, during the period of approximately May 1, 2020 to April 30, 2025 ("Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Mass. Gen. Laws c. 110A, Section 204(a)(2)(J).

10(d)(4)(vi). The disposition of the proceeding

On June 4, 2025, Edward Jones entered into a Consent Order with the Division to resolve this matter and, without admitting or denying the statement of facts or violations of law, agreed to the imposition of a censure, to cease and desist from conduct in violation of the Massachusetts Securities Act and the Regulations thereunder, to provide restitution to affected Massachusetts customers in an amount no less than \$114,782, to pay a \$100,000 administrative fine, to pay \$25,000 in investigation costs, and to comply with certain

undertakings. The administrative fine and investigation costs were paid on June 17, 2025, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 62

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ASD File #96200

10(d)(4)(iii). Date of Action

09/03/2025

10(d)(4)(iv). The Court or body taking the Action and its location

NORTH CAROLINA DEPARTMENT OF INSURANCE

10(d)(4)(v). Description of the Action

THE NORTH CAROLINA DEPARTMENT OF INSURANCE ALLEGED, PURSUANT TO NORTH CAROLINA GENERAL STATUTE SECTION 58-33-32(K), THAT EDWARD JONES FAILED TO TIMELY REPORT ADMINISTRATIVE ACTIONS TAKEN WITH RESPECT TO ITS LICENSE WITHIN 30 DAYS AFTER DISPOSITION OF MATTERS WITH STATE AND TERRITORY REGULATORS FOLLOWING AN INVESTIGATION COORDINATED AMONG MEMBERS OF THE NORTH AMERICAN ADMINISTRATORS ASSOCIATION (NASAA) OF ITS CONDUCT.

10(d)(4)(vi). The disposition of the proceeding

PURSUANT TO A VOLUNTARY SETTLEMENT AGREEMENT, EDWARD JONES AGREED TO PAY CIVIL PENALTY OF \$5,500.00 TO THE NORTH CAROLINA DEPARTMENT OF INSURANCE, WHICH WAS PAID SEPTEMBER 3, 2025.

Entity information Related to item 10(d)(4) Record: 63

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Case No. S-25-0038

10(d)(4)(iii). Date of Action

09/04/2025

10(d)(4)(iv). The Court or body taking the Action and its location

STATE OF OREGON DEPARTMENT OF CONSUMER AND BUSINESS SERVICES
DIVISION OF FINANCIAL REGULATION

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Director of the Department of Consumer and Business Services alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Oregon Revised Statutes 59.205(13) and Oregon Administrative Rule 441-205-0210(1).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Oregon Revised Statutes 59.205(13) and Oregon Administrative Rule 441-205-0210(1), to provide restitution to affected Oregon customers in an amount no less than \$203,494.79, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine was paid on September 17, 2025, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 64

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CASE NO.: 25-0060

10(d)(4)(iii). Date of Action

10/03/2025

10(d)(4)(iv). The Court or body taking the Action and its location

WEST VIRGINIA SECURITIES COMMISSION

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the West Virginia Securities Commission alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of West Virginia Uniform Securities Act, W. Va. Code Section 32-2-204(a)(2)(J).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of W. Va. Code Section 32-2-204(a)(2)(J), to provide restitution to affected West Virginia customers in an amount no less than \$58,901.77, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 65

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket No. 250026 (SEC-ORD)

10(d)(4)(iii). Date of Action

09/05/2025

10(d)(4)(iv). The Court or body taking the Action and its location

COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF BANKING AND SECURITIES

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Department of Banking and Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the Pennsylvania Securities Act, 70 P.S. Section 1-305(a)(vii).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 70 P.S. Section 1-305(a)(vii), to provide restitution to affected Pennsylvania customers in an amount no less than \$241,040.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 66

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DIVISION ORDER NO: 25-014

10(d)(4)(iii). Date of Action

09/25/2025

10(d)(4)(iv). The Court or body taking the Action and its location

OHIO DIVISION OF SECURITIES

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Ohio Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to

ensure Edward Jones charged its customers a reasonable commission, in violation of Ohio Revised Code 1707.19(A)(1)(i).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ohio Revised Code 1707.19(A)(1)(i), to provide restitution to affected Ohio customers in an amount no less than \$506,326.10, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 67

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ADMINISTRATIVE CONSENT ORDER

10(d)(4)(iii). Date of Action

10/09/2025

10(d)(4)(iv). The Court or body taking the Action and its location

THE SOUTH DAKOTA DIVISION OF INSURANCE

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The South Dakota Division of Insurance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of SDCL 47-31B-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of SDCL 47-31B-412(d)(9), to provide restitution to affected South Dakota customers in an amount no less than \$51,621.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 68

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

No. CO-25-202525-S

10(d)(4)(iii). Date of Action

10/08/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Connecticut Banking Commissioner

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Banking Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 36b-31-6f(b) of the Regulations of Connecticut State Agencies promulgated under the Connecticut Uniform Securities Act ("Regulations").

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 36b-31-6f(b) of the Regulations, to provide restitution to affected Connecticut customers in an amount no less than \$72,702.37, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and

the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 69

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ODS FILE 25-232

10(d)(4)(iii). Date of Action

10/08/2025

10(d)(4)(iv). The Court or body taking the Action and its location

OKLAHOMA DEPARTMENT OF SECURITIES

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Oklahoma Department of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 1-411(d)(9) of the Oklahoma Uniform Securities Act.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of the Oklahoma Uniform Securities Act and the Rules thereunder, to provide restitution to affected Oklahoma customers in an amount no less than \$238,568.91, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 70

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DOCKET NO. 25-018-S

10(d)(4)(iii). Date of Action

10/09/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Vermont Department of Financial Regulation

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Vermont Department of Financial Regulation alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Vermont Securities Regulation Section 2-2(b)(2).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Vermont Securities Regulation Section 2-2(b)(2), to provide restitution to affected Vermont customers in an amount no less than \$33,919.48, to pay an administrative fine in the amount of \$85,000, to contribute \$15,000 to the Vermont Financial Services Education and Victim Restitution Special Fund, and to comply with certain undertakings. The administrative fine, the contribution, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 71

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action	ORDER NO. S-25-0017-25-OR01
10(d)(4)(iii). Date of Action	10/13/2025
10(d)(4)(iv). The Court or body taking the Action and its location	ARKANSAS SECURITIES COMMISSIONER
10(d)(4)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Arkansas Securities Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Ark. Code Ann. Section 23-42-301(f)(1).
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ark. Code Ann. Section 23-42-301(f)(1), to provide restitution to affected Arkansas customers in an amount no less than \$170,530.58, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 72

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Case No. MS 25-07-10-2
10(d)(4)(iii). Date of Action	10/14/2025
10(d)(4)(iv). The Court or body taking the Action and its location	Securities Division of the New Mexico Regulation and Licensing Department
10(d)(4)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Director of the Securities Division of the New Mexico Regulation and Licensing Department alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the New Mexico Uniform Securities Act 1978 ("Act") Section 58-13C-412(C)(9).
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of the Act and the rules promulgated thereunder, to provide restitution to affected New Mexico customers in an amount no less than \$75,472.63, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 73

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Cause No. 25-0009 CA
10(d)(4)(iii). Date of Action	10/08/2025
10(d)(4)(iv). The Court or body taking the Action and its location	INDIANA SECRETARY OF STATE, SECURITIES DIVISION
10(d)(4)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated

among certain members of the North American Securities Administrators Association, the Indiana Securities Division and Indiana Securities Commissioner alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of I.C. Section 23-19-4-12(d)(9) and 710 Section IAC 4-7-6(d).

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of I.C. Sections 23-19-4-12(d)(9) and IAC Sections 4-7-6(d), to provide restitution to affected Indiana customers in an amount no less than \$431,170.81, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(4)(vi). The disposition of the proceeding

Entity information Related to item 10(d)(4) Record: 74

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Docket No. SD-25-00-16

10(d)(4)(iii). Date of Action

10/23/2025

10(d)(4)(iv). The Court or body taking the Action and its location

UTAH DIVISION OF SECURITIES

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Utah Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of the Utah Uniform Securities Act Section 61-1-6(2)(a)(ii)(J).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Utah Uniform Securities Act Section 61-1-6(2)(a)(ii)(J), to provide restitution to affected Indiana customers in an amount no less than \$58,049.54, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 75

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

CO-2025-0029

10(d)(4)(iii). Date of Action

11/17/2025

10(d)(4)(iv). The Court or body taking the Action and its location

ALABAMA SECURITIES COMMISSION

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Alabama Securities Commission alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Rule 830-X-3-.13(1).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Rule 830-X-3-.13(1), to provide restitution to affected Alabama customers in an amount no less than \$148,037.42, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 76

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ORDER NO. 25-61-S

10(d)(4)(iii). Date of Action

10/27/2025

10(d)(4)(iv). The Court or body taking the Action and its location

THE ALASKA DEPARTMENT OF COMMERCE, COMMUNITY, AND ECONOMIC DEVELOPMENT DIVISION OF BANKING AND SECURITIES

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Department of Commerce, Community, and Economic Development, Division of Banking and Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Alaska Statute 45.56.440(d)(9) of the Alaska Securities Act.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Alaska Statute 45.56.440(d)(9), to provide restitution to affected Alaska customers in an amount no less than \$28,642.40, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 77

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Administrative Consent Order

10(d)(4)(iii). Date of Action

11/19/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Delaware Department of Justice, Investor Protection Unit

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The Director of the Investor Protection Unit of the Delaware Department of Justice alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Delaware Securities Act, 6 Del. C. Section 73-304(a)(10).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 6 Del. C. Section 73-304(a)(10), to provide restitution to affected Delaware customers in an amount no less than \$30,736.41, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

SEB20250011

10(d)(4)(iii). Date of Action

11/17/2025

10(d)(4)(iv). The Court or body taking the Action and its location

STATE OF HAWAII DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities of the State of Hawaii alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Hawaii Revised Statutes ("HRS") 485A-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of HRS 485A-412(d)(9), to provide restitution to affected Hawaii customers in an amount no less than \$37,407.62, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

SB-2025-105

10(d)(4)(iii). Date of Action

11/14/2025

10(d)(4)(iv). The Court or body taking the Action and its location

THE IDAHO DEPARTMENT OF FINANCE

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, The Director of the Idaho Department of Finance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Idaho Code ("I.C.") Section 30-14-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of I.C. Section 30-14-412(d)(9), to provide restitution to affected Idaho customers in an amount no less than \$89,909.43, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Administrative Consent Order

10(d)(4)(iii). Date of Action

11/17/2025

10(d)(4)(iv). The Court or body taking the

State of Minnesota Department of Commerce

Action and its location

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Minnesota Commissioner of Commerce alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Minnesota Statute Section 80A.67(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Minnesota Statute Section 80A.67(d)(9), to provide restitution to affected Minnesota customers in an amount no less than \$261,074.01, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 81

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

SEC-2025-58A

10(d)(4)(iii). Date of Action

11/18/2025

10(d)(4)(iv). The Court or body taking the Action and its location

COMMISSIONER OF SECURITIES AND INSURANCE, OFFICE OF THE MONTANA STATE AUDITOR

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities and Insurance, Montana State Auditor's Office alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Montana Code Annotated ("MCA") Section 30-10-201(13)(k).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of MCA Section 30-10-201(13)(k), to provide restitution to affected Montana customers in an amount no less than \$67,601.53, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 82

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

FINDINGS OF FACT CONCLUSIONS OF LAW AND CONSENT ORDER

10(d)(4)(iii). Date of Action

11/14/2025

10(d)(4)(iv). The Court or body taking the Action and its location

NEBRASKA DEPARTMENT OF BANKING AND FINANCE

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Nebraska Department of Banking and Finance alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included

minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 8-1103(9)(a)(xi) of the Securities Act of Nebraska (the "Act").

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 8-1103(9)(a)(xi) of the Act, to provide restitution to affected Nebraska customers in an amount no less than \$134,041.05, to pay an administrative fine in the amount of \$10,000, investigation costs in the amount of \$15,000 and \$75,000 as settlement. The administrative fine, investigation costs, settlement, and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 83

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

I-2025000054

10(d)(4)(iii). Date of Action

11/14/2025

10(d)(4)(iv). The Court or body taking the Action and its location

New Hampshire Department of State Bureau of Securities Regulation

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the New Hampshire Department of State Bureau of Securities Regulation alleged that, during the period of approximately May 1, 2020 to April 30, 2025 (the "Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of RSA Section 421-B:4-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of New Hampshire Uniform Securities Act RSA Section 421-B:4-412(d)(9), to provide restitution to affected New Hampshire customers in an amount no less than \$63,079.49, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 84

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

AP-25-08

10(d)(4)(iii). Date of Action

12/15/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Enforcement Section of the Missouri Securities Division of the Office of the Secretary of State

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association ("NASAA"), the Enforcement Section of the Missouri Securities Division of the Office of the Secretary of State (the "Enforcement Section") alleged that, during the period of approximately May 1, 2020 to April 30, 2025 (the "Time Period"), Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of 15 CSR 30-51.171(2)(A).

10(d)(4)(vi). The disposition of the

Without admitting or denying the statement of facts or violations of law, Edward Jones

proceeding

agreed to the imposition of a censure, to cease and desist from conduct in violation of 15 CSR 30-51.171(2)(A), to provide restitution to affected Missouri customers in an amount no less than \$526,569.72, to pay a monetary fine in the amount of \$125,000 (the amount paid includes an administrative fine in the amount of \$100,000, and investigation costs in the amount of \$25,000), and to comply with certain undertakings. The monetary fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 85

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

LID-25-CAF-01

10(d)(4)(iii). Date of Action

12/19/2025

10(d)(4)(iv). The Court or body taking the Action and its location

Texas State Securities Board

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Texas State Securities Board alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of section 115.10(a) of the Texas State Securities Board Rules ("Board Rules") promulgated under the Texas Securities Act.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of section 115.10(a) of the Board Rules, to provide restitution to affected Texas customers in an amount no less than \$1,074,395.63, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 86

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Consent Order

10(d)(4)(iii). Date of Action

02/20/2026

10(d)(4)(iv). The Court or body taking the Action and its location

State of California Department of Financial Protection and Innovation

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Financial Protection and Innovation alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of California Corporations Code section 25218 and California Code of Regulations, title 10, section 260.218.4.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of California Corporations Code section 25218 and California Code of Regulations, title 10, section 260.218.4, to provide restitution to affected California customers in an amount no less than \$520,434.51, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 87

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Order No: SB-CO-06-25

10(d)(4)(iii). Date of Action

03/26/2026

10(d)(4)(iv). The Court or body taking the Action and its location

District of Columbia Department of Insurance, Securities and Banking

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the District of Columbia Department of Insurance, Securities and Banking alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of D.C. Official Code Section 31-5602.07(a)(12).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of D.C. Official Code Section 31-5602.07(a)(12), to provide restitution to affected District of Columbia customers in an amount no less than \$8,783.59, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 88

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

ENSC-251262

10(d)(4)(iii). Date of Action

02/20/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Commissioner of Securities for the State of Georgia

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of Securities for the State of Georgia alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Ga. Comp. R. & Regs. R. 590-4-5-.12(1) and O.C.G.A. Section 10-5-41(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Ga. Comp. R. & Regs. R. 590-4-5-.12(1) and O.C.G.A. Section 10-5-41(d)(9), to provide restitution to affected Georgia customers in an amount no less than \$384,825.28, to pay an administrative fine in the amount of \$100,000 of which \$20,000 will be retained for the cost of the investigation, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 89

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

File No.: 2500298

10(d)(4)(iii). Date of Action

02/20/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Illinois Secretary of State Securities Department

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Illinois Secretary of State Securities Department alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 8.E.1.e.iv of the Illinois Securities Law.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 8.E.1.e.iv of the Illinois Securities Law, to provide restitution to affected Illinois customers in an amount no less than \$654,428.95, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 90

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

LS-25-8149

10(d)(4)(iii). Date of Action

02/20/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Mississippi Secretary of State Securities Division

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Secretary of State of the State of Mississippi alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Mississippi Code Annotated Section 75-71-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Miss Code Ann. Section 75-71-412(d)(9), to provide restitution to affected Mississippi customers in an amount no less than \$82,132.41, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 91

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

File No. INV25-163

10(d)(4)(iii). Date of Action

04/01/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Securities Division of the Office of the Nevada Secretary of State

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Securities Division of the Office of the Nevada Secretary of State alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P.

("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of NRS 90.420(1)(1) of the Nevada Uniform Securities Act.

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of NRS 90.420(1)(1), to provide restitution to affected Nevada customers in an amount no less than \$66,759.57, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 92

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Consent Order

10(d)(4)(iii). Date of Action

02/24/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Puerto Rico Office of the Commissioner of Financial Institutions

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Commissioner of the Puerto Rico Office of the Commissioner of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Section 204(a)(2)(J) of the Puerto Rico Uniform Securities Act ("PRUSA").

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Section 204(a)(2)(J) of the PRUSA, to provide restitution to affected Puerto Rico customers in an amount no less than \$489.48, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 93

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

Matter No. 20252027

10(d)(4)(iii). Date of Action

02/25/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Securities Commissioner of South Carolina

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Securities Commissioner of South Carolina alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of S.C. Code Ann. Section 35-1-412(d)(9).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of S.C.

Code Ann. Section 35-1-412(d)(9), to provide restitution to affected South Carolina customers in an amount no less than \$321,397.88, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 94

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

DFI Case No. S-251169 (LX)

10(d)(4)(iii). Date of Action

03/04/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Wisconsin Department of Financial Institutions Division of Securities

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Wisconsin Division of Securities alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Wis. Admin. Code Section DFI-Sec 4.05(2).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Wis. Admin. Code Section DFI-Sec 4.05(2), to provide restitution to affected Wisconsin customers in an amount no less than \$334,797.49, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 95

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action

2025-DFI-0145

10(d)(4)(iii). Date of Action

04/13/2026

10(d)(4)(iv). The Court or body taking the Action and its location

Kentucky Department of Financial Institutions

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Kentucky Department of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of 808 Kentucky Administrative Regulations ("KAR") 10:030, Sections 3 and 4(1).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of 808 KAR 10:030, Sections 3 and 4(1), to provide restitution to affected Kentucky customers in an amount no less than \$181,263.55, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 96

10(d)(4)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(4)(ii). Title of Action	Matter No. OFI-2025-02
10(d)(4)(iii). Date of Action	04/09/2026
10(d)(4)(iv). The Court or body taking the Action and its location	Louisiana Office of Financial Institutions
10(d)(4)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Louisiana Office of Financial Institutions alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of Louisiana Securities Law Section 51:704(A)(9) and Louisiana Administrative Code 10:XIII.1901.
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of Louisiana Securities Law Section 51:704(A)(9) and Louisiana Administrative Code 10:XIII.1901, to provide restitution to affected Louisiana customers in an amount no less than \$180,147.98, to pay an administrative fine in the amount of \$100,000, and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 97

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	FINAL ORDER 25ADM002
10(d)(4)(iii). Date of Action	05/12/2026
10(d)(4)(iv). The Court or body taking the Action and its location	North Carolina Department of the Secretary of State, Securities Division
10(d)(4)(v). Description of the Action	In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the North Carolina Department of the Secretary of State, Securities Division alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of N.C. Gen. Stat. Section 78A-39(a1).
10(d)(4)(vi). The disposition of the proceeding	Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of N.C. Gen. Stat. Section 78A-39(a1), to provide restitution to affected North Carolina customers in an amount no less than \$579,290.41, to pay a monetary fine in the amount of \$100,000 (the amount paid includes a civil penalty of \$10,000, and investigation costs in the amount of \$90,000), and to comply with certain undertakings. The administrative fine and the restitution will be paid in accordance with the terms of the consent order.

Entity information Related to item 10(d)(4) Record: 98

10(d)(4)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(d)(4)(ii). Title of Action	Order No. S-25-3996-25-CO01
10(d)(4)(iii). Date of Action	05/05/2026
10(d)(4)(iv). The Court or body taking the	Washington State Department of Financial Institutions, Securities Division

Action and its location

10(d)(4)(v). Description of the Action

In connection with an investigation conducted by a multistate task force coordinated among certain members of the North American Securities Administrators Association, the Washington State Department of Financial Institutions Securities Division alleged that, during the period of approximately May 1, 2020 to April 30, 2025, Edward D. Jones & Co., L.P. ("Edward Jones") failed to ensure certain transactions were executed at a fair and reasonable price and did not reasonably supervise certain small principal equity transactions that included minimum commission charges to ensure Edward Jones charged its customers a reasonable commission, in violation of WAC 460-20C-150(1)(e).

10(d)(4)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones agreed to the imposition of a censure, to cease and desist from conduct in violation of WAC 460-20C-150(1)(e), to provide restitution to affected Washington customers in an amount no less than \$361,844.96, to pay an administrative fine in the amount of \$100,000, to pay investigation costs in the amount of \$25,000, and to comply with certain undertakings. The administrative fine, investigation costs, and restitution will be paid in accordance with the terms of the consent order.

10(d)(5). ever denied, suspended, or revoked applicant's or control affiliate's registration or license, or prevented it from associating with an investment-related business, or otherwise disciplined it by restricting its activities?

Yes No

Entity information Related to item 10(d)(5) Record: 1

10(d)(5)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(d)(5)(ii). Title of Action

File No. 8704-2

10(d)(5)(iii). Date of Action

02/01/1988

10(d)(5)(iv). The Court or body taking the Action and its location

Pennsylvania Securities Commissioner

10(d)(5)(v). Description of the Action

See item 10(d)(2) above.

10(d)(5)(vi). The disposition of the proceeding

See item 10(d)(2) above.

10(d)(6). ever revoked or suspended the applicant's or a control affiliate's license as an attorney or accountant?

Yes No

10(e). Has any self-regulatory organization or commodities exchange ever:

10(e)(1). found the applicant or a control affiliate to have made a false statement or omission?

Yes No

Entity information Related to item 10(e)(1) Record: 1

10(e)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(1)(ii). Title of Action

Hearing Panel Decision No. 04-194

10(e)(1)(iii). Date of Action

12/23/2003

10(e)(1)(iv). The Court or body taking the Action and its location

The New York Stock Exchange (NYSE)

10(e)(1)(v). Description of the Action

AN EXCHANGE PANEL MET TO CONSIDER A STIPULATION OF FACTS AND CONSENT TO PENALTY ENTERED INTO BETWEEN THE EXCHANGE'S DIVISION OF ENFORCEMENT AND EDWARD JONES ("THE FIRM"). WITHOUT ADMITTING OR DENYING GUILT, THE FIRM CONSENTED TO A FINDING BY THE HEARING PANEL THAT IT: I. VIOLATED SECTION 17(A)(2) OF THE SECURITIES ACT [15 U.S.C. Sections 77Q (A)(2)] II. VIOLATED SECTION 10B-10 OF THE EXCHANGE ACT [17 C.F.R. Section 240.10B-10] III. ENGAGED IN CONDUCT INCONSISTENT WITH PRINCIPLES OF TRADE IN VIOLATION OF EXCHANGE RULE 476(A)(6) IV. VIOLATED EXCHANGE RULE 401 IN FAILING TO USE THE PRINCIPLES OF GOOD BUSINESS PRACTICE IN THE CONDUCT OF ITS BUSINESS AFFAIRS; V. VIOLATED EXCHANGE RULE 342 BY FAILING TO: A. REVIEW PROSPECTUSES AND SAIS OFFERED BY CERTAIN MUTUAL FUND FAMILIES TO DETERMINE IF ADEQUATE DISCLOSURES OF REVENUE SHARING, DIRECTED BROKERAGE PAYMENTS OR OTHER INCENTIVES WERE MADE. B. REASONABLY SUPERVISE ITS BUSINESS ACTIVITIES, AND ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION WITH RESPECT TO LATE TRADING OF MUTUAL FUNDS. VI. VIOLATED SECTION 17(A) OF THE EXCHANGE ACT AND SEC RULES 17A-4 AND EXCHANGE RULE 440 BY FAILING TO PRESERVE FOR 3 YEARS AND/OR PRESERVE IN AN EASILY ACCESSIBLE PLACE FOR 2 YEARS, RECORDS OF ELECTRONIC COMMUNICATION IN VIEW OF THE ABOVE FINDINGS, THE HEARING PANEL, BY UNANIMOUS VOTE, IMPOSED THE PENALTY CONSENTED TO BY THE FIRM AS SET FORTH BELOW: THE IMPOSITION BY THE EXCHANGE, THE SECURITIES EXCHANGE COMMISSION ("SEC") AND NATIONAL ASSOCIATION OF SECURITIES DEALERS ("NASD") IMPOSED A SANCTION OF A CENSURE AND PAYMENT OF \$75 MILLION, AS FOLLOWS 1. \$37.5 MILLION AS A PENALTY; AND 2. \$37.5 MILLION AS DISGORGEMENT THAT WILL BE PLACED INTO A CUSTOMER REIMBURSEMENT FUND TO COMPENSATE CUSTOMERS HARMED BY THE FIRM'S VIOLATIVE CONDUCT. 3. PURSUANT TO SECTION 308(A) OF THE SARBANES-OXLEY ACT OF 2002, A FAIR FUND WAS ESTABLISHED FOR THE FUNDS DESCRIBED.

10(e)(1)(vi). The disposition of the proceeding

Monetary/Fine \$75,000,000; and Censure.

Entity information Related to item 10(e)(1) Record: 2

10(e)(1)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(1)(ii). Title of Action

File No. CAF040115

10(e)(1)(iii). Date of Action

10/23/2003

10(e)(1)(iv). The Court or body taking the Action and its location

National Association of Securities Dealers, Inc. (NASD)

10(e)(1)(v). Description of the Action

NASD alleged Edward Jones (a) failed to disclose its financial incentives to sell mutual funds from the preferred families on its website and other written documentation, and orally to clients, (b) failed to disclose on its website or any other written documentation any incentives to sell 529 Plans, and (c) willfully violated Section 17(A)(2) of the Securities Act, Rules 10B-10 under the Exchange Act, Section 15B(C)(1) of the Exchange Act, and contravened the dictates of MSRB Rule G-15. NASD deemed it appropriate to (a) censure Edward Jones, (b) order Edward Jones to cease and desist from committing any violations of Section 17(A)(2) of the Securities Act, Section 15B(C)(1) of the Exchange Act, Rules 10B-10 and MSRB Rule G-15, and (c) order Edward Jones to pay a total of \$37.5 million for disgorgement plus prejudgment interest and a \$37.5 million as a civil monetary penalty, for a total of \$75 million. The NASD further ordered Edward Jones to (i) place and maintain on its mutual fund portion of its public website specific disclosures regarding its preferred mutual fund family program ("Program"), (ii) place and maintain specific disclosures regarding 529 Plans of its Program on its public website, (iii) send information about these disclosure to its new clients for its mutual fund and 529 transaction and then to its clients on a quarterly basis, (iv) establish policies and procedures to conduct reviews of all prospectuses and SAIS, (v) place on its public website Edward Jones' policies and procedures regarding the adding or removing of mutual fund families from its preferred list, (vi) retain an independent consultant ("IC") to

review these policies and procedures and its distribution plan, (vii) have the IC submit a report to the NASD'S staff about its review of Edward Jones' policies and procedures and distribution plan, (viii) report to the NASD'S staff about the recommendations that it will adopt, and (ix) have the IC submit a final report to Edward Jones and the NASD staff.

10(e)(1)(vi). The disposition of the proceeding

Monetary/Fine \$300,000; and Censure.

10(e)(2). found the applicant or a control affiliate to have been involved in a violation of its rules?

Yes No

Entity information Related to item 10(e)(2) Record: 1

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. 2006006054601

10(e)(2)(iii). Date of Action

08/11/2006

10(e)(2)(iv). The Court or body taking the Action and its location

Financial Industry Regulatory Authority (FINRA)

10(e)(2)(v). Description of the Action

FINRA ALLEGED THAT PURSUANT TO PROVISIONS OF NASD RULE 6230(A), EDWARD D. JONES & CO., L.P. FAILED TO REPORT TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES WITHIN 15 MINUTES OF THE TIME OF EXECUTION. WITHOUT ADMITTING OR DENYING THE FINDINGS, THE APPLICANT CONSENTED TO THE TO THE ENTRY OF FINDINGS, CENSURE AND FINE OF \$10,000.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$10,000.

Entity information Related to item 10(e)(2) Record: 2

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. EAF0401100001

10(e)(2)(iii). Date of Action

01/01/2002

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

PURSUANT TO NASD RULE 9216, EDWARD JONES ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT ("AWC") WHEREBY IT AGREED, WITHOUT ADMITTING OR DENYING THE FINDINGS OF THE NASD, TO THE ENTRY OF CERTAIN FINDINGS AND SANCTIONS IN CONNECTION WITH ITS HANDLING OF NET ASSET VALUE ("NAV") TRANSFER PROGRAMS OFFERED BY CERTAIN MUTUAL FUNDS DURING THE PERIOD JANUARY 1, 2002, THROUGH DECEMBER 31, 2004. DURING THIS PERIOD, THE PROSPECTUSES OF SEVERAL MUTUAL FUND COMPANIES PROVIDED THAT UNDER CERTAIN CIRCUMSTANCES INVESTORS WERE ELIGIBLE TO PURCHASE SHARES AT NET ASSET VALUE (I.E., WITHOUT ANY DEDUCTION FOR A SALES LOAD) IF THEY WERE MAKING THE PURCHASE WITH PROCEEDS FROM THE REDEMPTION OF THE SHARES OF ANOTHER FUND FAMILY AND THAT REDEMPTION HAD TAKEN PLACE WITHIN A SPECIFIED PERIOD OF TIME OF THE PURCHASE, E.G., 30 OR 60 OR 90 DAYS. THE NASD ALLEGED THAT EDWARD JONES FAILED TO PROVIDE ALL INVESTORS THE OPPORTUNITY TO PURCHASE CLASS A SHARES OF CERTAIN MUTUAL FUNDS AT NET ASSET VALUE PURSUANT TO THE TERMS OF THEIR NAV TRANSFER PROGRAMS. THE NASD FURTHER ALLEGED THAT EDWARD JONES FAILED TO EXERCISE REASONABLE DUE DILIGENCE TO IDENTIFY THE ESSENTIAL TERMS AND CONDITIONS OF ALL NAV TRANSFER PROGRAMS OFFERED BY THE MUTUAL

FUNDS THAT IT SOLD AND FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SYSTEM AND PROCEDURES TO ENSURE THAT ALL OF ITS CUSTOMERS RECEIVED NET ASSET VALUE PRICING WHEN APPROPRIATE. EDWARD JONES WAS CENSURED; FINED \$250,000; AND AGREED TO PROVIDE REMEDIATION PAYMENTS TO INVESTORS IN AN AMOUNT TO BE DETERMINED BUT ESTIMATED TO BE APPROXIMATELY \$25,000,000. SUCH REMEDIATION INCLUDED, IN APPROPRIATE CASES, 1) A REFUND OF AMOUNTS PAID AS A SALES CHARGE, 2) A CASH PAYMENT EQUAL TO AN AMOUNT NECESSARY TO PLACE THE CLIENT IN A FINANCIAL POSITION EQUIVALENT TO WHAT HE OR SHE WOULD HAVE BEEN IN IF THE RELEVANT TRANSACTIONS HAD TAKEN PLACE AT NET ASSET VALUE, AND 3) INTEREST ON THOSE AMOUNTS.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$250,000; and Censure.

Entity information Related to item 10(e)(2) Record: 3

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. ENF SEA #2005-22

10(e)(2)(iii). Date of Action

09/27/2005

10(e)(2)(iv). The Court or body taking the Action and its location

NASD, District No. 3 Seattle

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THAT IN CONNECTION WITH TRANSACTIONS WHICH INVOLVED THE SALES OF MUNICIPAL SECURITIES BY CUSTOMERS DURING THE PERIOD FROM JANUARY 2003 UNTIL APRIL 2004, THE FIRM FAILED TO ENSURE THAT CONFIRMATIONS ISSUED INCLUDED YIELD TO MATURITY INFORMATION AS REQUIRED BY MSRB G-15(A)(1)(A)(5); THAT DURING THE PERIOD FROM MAY 1995 UNTIL APRIL 2004, THE FIRM FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM, DESIGNED TO ENSURE THAT CONFIRMATIONS ISSUED FOR CUSTOMER TRANSACTIONS IN MUNICIPAL SECURITIES DISCLOSED INFORMATION REGARDING THOSE TRANSACTIONS AS REQUIRED BY MSRB RULE G-15; AND THAT THESE CONSTITUTED A VIOLATION OF MSRB RULE G-27(C). EDWARD JONES ACCEPTED AND CONSENTED TO, WITHOUT ADMITTING OR DENYING GUILT, A SETTLEMENT WHICH INCLUDED CENSURE AND A FINE OF \$300,000; AGREED TO DEVISE AND IMPLEMENT A POLICY AND SET OF PROCEDURES IN ENSURE THE FIRM'S CONFIRMATIONS ISSUED IN CONNECTION WITH TRANSACTIONS IN MUNICIPAL SECURITIES CONTAIN ALL DISCLOSURES REQUIRED BY MSRB RULE G-15; AND AGREED THAT FOR A PERIOD OF TWO YEARS THE FIRM WILL PROVIDE TO THE NASD'S SEATTLE DISTRICT OFFICE A WRITTEN CERTIFICATION THAT IT HAS REVIEWED ITS CONFIRMATION DISCLOSURES AND THAT THEY CONFORM TO THE REQUIREMENTS OF MSRB RULE G-15.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$300,000; and Censure.

Entity information Related to item 10(e)(2) Record: 4

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Hearing Panel Decision No. 04-194

10(e)(2)(iii). Date of Action

12/23/2003

10(e)(2)(iv). The Court or body taking the Action and its location

NYSE

10(e)(2)(v). Description of the Action

See item 10(e)(1) above.

10(e)(2)(vi). The disposition of the proceeding

See item 10(e)(1) above.

Entity information Related to item 10(e)(2) Record: 5

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. CAF040115

10(e)(2)(iii). Date of Action

10/23/2003

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

See item 10(e)(1) above.

10(e)(2)(vi). The disposition of the proceeding

See item 10(e)(1) above.

Entity information Related to item 10(e)(2) Record: 6

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. CAF040097

10(e)(2)(iii). Date of Action

11/30/2004

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

PURSUANT TO ARTICLE V, SECTIONS 2(C) AND 3(B) OF NASD'S BY-LAWS, AND NASD RULES 2110 AND 3010, THE NASD ALLEGED THAT THAT EDWARD JONES FILED AT LEAST 280 LATE AMENDMENTS TO FORMS U4 AND U5, WHICH REPRESENTED APPROXIMATELY 27% OF THE REQUIRED AMENDMENTS RELATING TO REPORTABLE CUSTOMER COMPLAINTS, TERMINATIONS, REGULATORY ACTIONS, AND CRIMINAL DISCLOSURES. DURING THE RELEVANT PERIOD, EDWARD JONES' SUPERVISORY SYSTEM AND PROCEDURES WERE NOT REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH ITS ARTICLE V REPORTING OBLIGATIONS. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EDWARD JONES CONSENTS TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, IT HAS ACCEPTED THE CENSURE AND FINE OF \$300,000, WHICH SHALL BE PAID WITHIN 10 DAYS OF NOTICE OF THIS AWC. IN ADDITION EDWARD JONES SHALL COMPLY WITH THE FOLLOWING UNDERTAKINGS: (1) PROMPTLY, THE FIRM'S INTERNAL AUDIT DEPARTMENT OR PERSONNEL NOT DIRECTLY RESPONSIBLE FOR THE FIRM'S ARTICLE V REPORTING OBLIGATIONS AND THEIR IMMEDIATE SUPERVISORS SHALL CONDUCT AN AUDIT TO ACCESS THE EFFECTIVENESS OF ITS SYSTEM AND PROCEDURES FOR ENSURING TIMELY FILING OF FORM U4 AND U5 AMENDMENTS SUMMARIZING FINDINGS AND RECOMMENDATIONS AND SHALL FOR THE NEXT FOUR CALENDAR QUARTERS BEGINNING FOURTH QUARTER 2004, CONDUCT A SIMILAR AUDIT AND PREPARE A SIMILAR WRITTEN AUDIT REPORT. (2) NO LATER THAN 90 DAYS AFTER NOTICE OF ACCEPTANCE OF THIS AWC, AN OFFICER OF THE FIRM SHALL CERTIFY TO THE NASD THAT AN AUDIT WAS CONDUCTED AND THE OFFICER HAS REVIEWED THE CURRENT AUDIT REPORT. (3) NO LATER THAN 60 DAYS AFTER THE DATE OF THE CURRENT AUDIT REPORT, AN OFFICER SHALL CERTIFY IN WRITING TO THE NASD THAT THE FIRM HAS IMPLEMENTED, OR HAS BEGUN TO IMPLEMENT, ANY RECOMMENDATIONS WITHIN A SPECIFIED TIME PERIOD. (4) NO LATER THAN 60 DAYS AFTER THE LAST DAY OF THE NEXT FOUR QUARTERS, AN OFFICER SHALL CERTIFY IN WRITING TO THE NASD THAT AN AUDIT WAS CONDUCTED, THE CURRENT AUDIT REPORT WAS REVIEWED, AND RECOMMENDATIONS IMPLEMENTED, OR BEGUN TO BE IMPLEMENTED. (5)

NO LATER THAT SIX MONTHS AFTER NOTICE OF ACCEPTANCE OF THIS AWC, AN OFFICER SHALL CERTIFY IN WRITING TO THE NASD THAT THE FIRM HAS REVIEWED ITS SYSTEM AND PROCEDURES FOR COMPLYING WITH ITS ARTICLE V REPORTING OBLIGATIONS AND HAS ESTABLISHED A SYSTEM AND PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH REPORTING REQUIREMENTS SET FORTH THEREIN.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$300,000; and Censure

Entity information Related to item 10(e)(2) Record: 7

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. C07040079-AWC

10(e)(2)(iii). Date of Action

09/09/2004

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THAT EDWARD JONES VIOLATED NASD CONDUCT RULES 3010 AND 2110, BY FAILING TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM, INCLUDING WRITTEN SUPERVISORY PROCEDURES, REASONABLY DESIGNED TO DETER AND PREVENT ITS REPRESENTATIVES FROM MAKING UNSUITABLE RECOMMENDATIONS INVOLVING THE USE OF MARGIN LOANS IN CLIENT ACCOUNTS AS A RESULT OF ITS BONUS PLAN. THE FIRM ACCEPTED AND CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS BY THE HEARING PANEL THAT IT VIOLATED NASD CONDUCT RULES 3010 AND 2110 AND CONSENT TO A CENSURE AND A FINE OF \$200,000.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$200,000; and Censure.

Entity information Related to item 10(e)(2) Record: 8

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. CMS040143-AWC

10(e)(2)(iii). Date of Action

10/08/2003

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THE APPLICANT IMPROPERLY INCLUDED ITS MARKUP/MARKDOWN IN 8,319 TRANSACTIONS THAT IT REPORTED TO TRACE. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS OF THE NASD, THE APPLICANT ACCEPTED AND CONSENTED TO THE CENSURE AND FINES PROVIDED IN THE ACCEPTANCE WAIVER AND CONSENT AGREEMENT.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$15,000; and Censure.

Entity information Related to item 10(e)(2) Record: 9

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. C05040041

10(e)(2)(iii). Date of Action

06/28/2004

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED VIOLATIONS PURSUANT TO PROVISIONS OF MSRB RULES G-17, G-30(A). EDWARD JONES RECEIVED REQUESTS FROM PUBLIC CUSTOMERS TO LIQUIDATE EIGHT DIFFERENT MUNICIPAL SECURITY POSITIONS. IN TURN, IT CONTACTED A BROKER'S BROKER OBTAINING BIDS FOR THE CUSTOMERS' SECURITIES. BASED ON THE BIDS PROVIDED, EDWARD JONES PURCHASED THE SECURITIES FROM THE CUSTOMERS FOR ITS OWN ACCOUNT AND SOLD THE SECURITIES TO THE BROKER'S BROKER AT A NOMINAL GAIN. IN ALL EIGHT INSTANCES, THE PRICES PAID TO THE CUSTOMERS AND RECEIVED BY THE FIRM BASED ON THESE BIDS WERE LATER DETERMINED TO BE BELOW THE ACTUAL FAIR MARKET VALUE FOR THE SECURITIES IN AMOUNTS RANGING FROM 9.04% TO 36%. BY RELYING SOLELY ON THE BIDS PROVIDED, EDWARD JONES FAILED TO ENSURE THAT THE TRANSACTIONS WERE EXECUTED AT AGGREGATE PRICES THAT WERE FAIR AND REASONABLE. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EDWARD JONES CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM WAS CENSURED, FINED \$15,000, AND REQUIRED TO PAY \$10,181.50, PLUS INTEREST IN RESTITUTION TO THE CUSTOMER. SATISFACTORY PROOF OF PAYMENT OF THE RESTITUTION SHALL BE PROVIDED TO NASD NO LATER THAN 90 DAYS AFTER ACCEPTANCE OF THE AWC. THE FIRM SHALL ALSO PROVIDE NASD, WITHIN 90 DAYS OF ACCEPTANCE OF THIS AWC, A COPY OF ITS UPDATED WRITTEN SUPERVISORY PROCEDURES AS THEY RELATE TO THE DETERMINATION OF THE FAIR MARKET VALUE OF MUNICIPAL SECURITIES BEING BOUGHT OR SOLD FROM A PUBLIC CUSTOMER.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$15,000; and Censure.

Entity information Related to item 10(e)(2) Record: 10

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Hearing Panel Decision No. 04-32

10(e)(2)(iii). Date of Action

12/30/2003

10(e)(2)(iv). The Court or body taking the Action and its location

NYSE

10(e)(2)(v). Description of the Action

THE NYSE ALLEGED THE APPLICANT VIOLATED PROVISIONS OF 1. EXCHANGE RULE 346(F), BY EMPLOYING INDIVIDUALS WHOM IT KNEW, OR IN THE EXERCISE OF REASONABLE CARE, SHOULD HAVE KNOWN, WERE SUBJECT TO STATUTORY DISQUALIFICATION. 2. EXCHANGE RULE 351(A)(9), BY FAILING TO PROMPTLY REPORT ITS ASSOCIATION WITH PERSONS SUBJECT TO STATUTORY DISQUALIFICATION. 3. EXCHANGE RULE 351 (A)(5), BY FAILING TO PROMPTLY REPORT AN EMPLOYEE'S ARREST OR CONVICTION TO THE EXCHANGE. 4. EXCHANGE RULE 342, BY FAILING TO PROVIDE FOR, ESTABLISH, AND MAINTAIN ADEQUATE PROCEDURES AND CONTROLS, INCLUDING A SYSTEM OF FOLLOW-UP AND REVIEW OF ITS BUSINESS ACTIVITIES, TO ENSURE COMPLIANCE WITH EXCHANGE RULES AND FEDERAL SECURITIES LAWS RELATING TO EMPLOYMENT OF STATUTORY DISQUALIFIED INDIVIDUALS. WITHOUT ADMITTING OR DENYING GUILT, THE APPLICANT CONSENTS TO THE FINDINGS BY THE HEARING PANEL OF THE VIOLATIONS OUTLINED ABOVE. THE PANEL APPROVED THE EXECUTED STIPULATION OF FACTS AND CONSENT TO PENALTY OF THE IMPOSITION OF A CENSURE BY THE EXCHANGE AND A \$100,000 FINE.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$100,000; and Censure.

Entity information Related to item 10(e)(2) Record: 11

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	File No. N-VS-218
10(e)(2)(iii). Date of Action	08/10/1976
10(e)(2)(iv). The Court or body taking the Action and its location	NASD
10(e)(2)(v). Description of the Action	THE NASD ALLEGED THE APPLICANT VIOLATED PROVISIONS OF SECTION IC3(D)(I) OF SCHEDULE D OF THE ASSOCIATION'S BYLAWS (NASDAQ VOLUME REPORTING). EDWARD JONES WAS FINED \$25 BY THE NASDAQ COMMITTEE OF THE NASD PURSUANT TO A SUMMARY COMPLAINT PROCEDURE.
10(e)(2)(vi). The disposition of the proceeding	Monetary/Fine \$25.

Entity information Related to item 10(e)(2) Record: 12

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	N/A
10(e)(2)(iii). Date of Action	05/19/1969
10(e)(2)(iv). The Court or body taking the Action and its location	NASD
10(e)(2)(v). Description of the Action	THE NASD ALLEGED THE APPLICANT FAILED TO MAKE BONA FIDE PUBLIC OFFERINGS IN THE DISTRIBUTION OF 17 "HOT ISSUES" IN VIOLATION OF ARTICLE III, SECTION 1 "FREE-RIDING". THE NASD DISTRICT BUSINESS COMMITTEE CENSURED AND FINED THE APPLICANT \$1000 AND ASSESSED COSTS OF \$64.65.
10(e)(2)(vi). The disposition of the proceeding	Monetary/Fine \$1,000; and Censure.

Entity information Related to item 10(e)(2) Record: 13

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	File No. SC:KC-30, District #4
10(e)(2)(iii). Date of Action	05/19/1981
10(e)(2)(iv). The Court or body taking the Action and its location	NASD
10(e)(2)(v). Description of the Action	THE NASD ALLEGED THE APPLICANT VIOLATED ITS RULE CONCERNING FREE-RIDING AND WITHHOLDING. EDWARD JONES AND A FINANCIAL REPRESENTATIVE WERE CENSURED AND FINED \$250 BY THE NASD PURSUANT TO A SUMMARY COMPLAINT PROCEDURE.
10(e)(2)(vi). The disposition of the proceeding	Monetary/Fine \$250; and Censure.

Entity information Related to item 10(e)(2) Record: 14

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	File No. E07980030 TC

10(e)(2)(iii). Date of Action

01/12/2000

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THE APPLICANT FAILED TO ESTABLISH AND MAINTAIN ADEQUATE WRITTEN SUPERVISORY PROCEDURES PERTAINING TO THE REVIEW AND MONITORING OF A CUSTOMER'S ACCOUNT ACTIVITY IN VIOLATION OF NASD CONDUCT RULE 3010 THEREBY PREVENTING UNSUITABLE RECOMMENDATIONS AND BOND TRADING ON MARGIN. WITHOUT ADMITTING TO OR DENYING ALLEGATIONS, EDWARD JONES AGREED TO PAY \$5,000.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$5,000.

Entity information Related to item 10(e)(2) Record: 15

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Hearing Panel Decision No. 00-187

10(e)(2)(iii). Date of Action

02/02/2000

10(e)(2)(iv). The Court or body taking the Action and its location

NYSE

10(e)(2)(v). Description of the Action

THE NYSE ALLEGED THE APPLICANT FAILED TO REASONABLY SUPERVISE AND CONDUCTED TRANSACTIONS IN A MANNER INCONSISTENT WITH JUST AND EQUITABLE PRINCIPALS OF TRADE IN ITS DISTRIBUTION OF CALLABLE CDS; AND THAT IT VIOLATED NYSE RULE 472.40 RELATING TO INACCURATE CAPACITY DISCLOSURES IN RESEARCH REPORTS. APPLICANT AGREED TO CONDUCT AN ANNUAL REVIEW FOR THE NEXT FIVE YEARS OF MARKETING, TRAINING, AND DISCLOSURE MATERIALS RELATED TO LONG TERM CALLABLE CERTIFICATE OF DEPOSIT INVESTMENTS.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$200,000; and Censure.

Entity information Related to item 10(e)(2) Record: 16

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. 92-133

10(e)(2)(iii). Date of Action

12/27/1991

10(e)(2)(iv). The Court or body taking the Action and its location

NYSE

10(e)(2)(v). Description of the Action

IN A CHARGE MEMORANDUM FILED AGAINST THE APPLICANT AND A FINANCIAL ADVISOR, THE NYSE ALLEGED THAT IN THE APPLICANT'S SALE OF SECURITIES TO EIGHT CUSTOMERS, ITS CONDUCT CONSISTED OF UNSUITABILITY, LACK OF DIVERSIFICATION, MISSTATEMENTS, LACK OF DUE DILIGENCE, FALSIFYING NEW ACCOUNT FORMS, AND DISTRIBUTION OF UNAPPROVED INFORMATION. NO SPECIFIC ACTION REQUESTED. WITHOUT ACCEPTING OR DENYING THE ALLEGATIONS, THE FIRM AGREED TO A CENSURE AND FINE OF \$5,000.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$5,000; and Censure.

Entity information Related to item 10(e)(2) Record: 17

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	CMS960137 AWC
10(e)(2)(iii). Date of Action	04/23/1997
10(e)(2)(iv). The Court or body taking the Action and its location	NASD
10(e)(2)(v). Description of the Action	THE NASD ALLEGED THAT APPLICANT MISTAKENLY EXECUTED SHORT SALES OF A COMMON STOCK WHEN THE PREVIOUS INSIDE QUOTES HAPPENED TO BE DOWNTICKS IN VIOLATION OF NASD CONDUCT RULE 3350. PURSUANT TO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, APPLICANT AGREED TO A \$1,000 FINE AND REMITTANCE OF \$7,307.77 OF PROFITS RELATING TO THE TRANSACTIONS.
10(e)(2)(vi). The disposition of the proceeding	Monetary/Fine \$8,307.77.

Entity information Related to item 10(e)(2) Record: 18

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	Exchange Hearing Panel Decision 94-166
10(e)(2)(iii). Date of Action	12/19/1994
10(e)(2)(iv). The Court or body taking the Action and its location	NYSE
10(e)(2)(v). Description of the Action	THE NYSE ALLEGED THE APPLICANT VIOLATED PROVISIONS OF NYSE RULE 351(A) (FAILURE TO PROMPTLY REPORT CERTAIN EVENTS); NYSE RULE 345.17(B) (FAILURE TO TIMELY AMEND CERTAIN FORMS U-5); AND NYSE RULE 342(A) & (B) (FAILURE TO ESTABLISH APPROPRIATE PROCEDURES FOR CONTROL OF THESE REPORTING REQUIREMENTS). THIS ACTION WAS SETTLED BY STIPULATION OF FACTS AND CONSENT TO PENALTY WHEREIN APPLICANT WAS FINED \$40,000 AND AGREED TO: (I) ADOPT POLICIES TO REASONABLY ENSURE PROMPT REPORTING REQUIRED BY RULES 345 & 351; (II) CONDUCT AN INTERNAL REVIEW TO DETERMINE IF ANY OTHER FILINGS NEED TO BE MADE, AND, IF NECESSARY, MAKE SUCH FILINGS; AND(III) REPORT TO THE NYSE AT THE END OF THREE MONTHS THE RESULTS OF THE REVIEW AS SPECIFIED IN (II) AND TO AFFIRM THAT ALL REQUIRED REPORTS HAVE BEEN MADE. THE LATE FILINGS WHICH ARE THE SUBJECT OF THIS ACTION WERE PREDOMINANTLY DISCOVERED BY THE APPLICANT ITSELF IN CONDUCTING AN INTERNAL REVIEW AND WERE VOLUNTARILY DISCLOSED & FILED UPON DISCOVERY OF THE ERRORS.
10(e)(2)(vi). The disposition of the proceeding	Monetary/Fine \$40,000.

Entity information Related to item 10(e)(2) Record: 19

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	MS-1104-AWC
10(e)(2)(iii). Date of Action	05/31/1991
10(e)(2)(iv). The Court or body taking the Action and its location	NASD
10(e)(2)(v). Description of the Action	THE NASD ALLEGED THE APPLICANT VIOLATED PROVISIONS OF PART VI,

SECTION 5(A) OF SCHEDULE D FOR FAILURE TO GIVE TIMELY VOLUME REPORTING IN CONNECTION WITH CERTAIN ACTIVITIES AS A NASDAQ MARKET MAKER. APPLICANT AGREED TO FINE OF \$1,000 PURSUANT TO AN ACCEPTANCE, WAIVER AND CONSENT AGREEMENT.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$1,000.

Entity information Related to item 10(e)(2) Record: 20

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. MS-973 AWC

10(e)(2)(iii). Date of Action

10/04/1990

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THE APPLICANT VIOLATED PROVISIONS OF PART VI, SECTION 5(A) OF SCHEDULE D FOR FAILURE TO GIVE TIMELY VOLUME REPORTING IN CONNECTION WITH CERTAIN ACTIVITIES AS A NASDAQ MARKET MAKER. APPLICANT AGREED TO FINE OF \$1,750 PURSUANT TO AN ACCEPTANCE, WAIVER AND CONSENT PROCEDURE.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$1,750.

Entity information Related to item 10(e)(2) Record: 21

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. KC-444, District #4

10(e)(2)(iii). Date of Action

02/08/1989

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGES THE APPLICANT VIOLATED PROVISIONS OF ARTICLE III, SECTIONS 1 AND 35 OF THE RULES OF FAIR PRACTICE FOR APPROVING AN ADVERTISEMENT FOUND TO BE MISLEADING. PURSUANT TO AN OFFER OF SETTLEMENT, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE APPLICANT AGREED TO A CENSURE AND FINE OF \$1,000.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$1,000; and Censure.

Entity information Related to item 10(e)(2) Record: 22

10(e)(2)(i). The individuals named in the Action

Edward D. Jones

10(e)(2)(ii). Title of Action

File No. KC-292-SC

10(e)(2)(iii). Date of Action

08/31/1983

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THE APPLICANT VIOLATED PROVISIONS OF AN NASD RULE CONCERNING FREERIDING AND WITHHOLDING. EDWARD JONES AND ITS FINANCIAL ADVISOR AGREED TO A CENSURE AND FINE OF \$900 PURSUANT TO A SUMMARY COMPLAINT PROCEDURE.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$900; Censure.

Entity information Related to item 10(e)(2) Record: 23

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. D-MSE-80-76

10(e)(2)(iii). Date of Action

08/20/1980

10(e)(2)(iv). The Court or body taking the Action and its location

Midwest Stock Exchange, Inc.

10(e)(2)(v). Description of the Action

THE MIDWEST STOCK EXCHANGE ALLEGED THE APPLICANT VIOLATED A REQUIREMENT THAT SETTLEMENT OBLIGATIONS BE PAID IN CLEARING HOUSE FUNDS ON SETTLEMENT DATE OR IN FEDERAL FUNDS ON THE NEXT BUSINESS DAY FOLLOWING SETTLEMENT DATE. THE APPLICANT AGREED TO AN ASSESSMENT OF MONETARY FINE PURSUANT TO A DECISION BY THE EXCHANGE.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$50.

Entity information Related to item 10(e)(2) Record: 24

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

File No. KC-291

10(e)(2)(iii). Date of Action

02/01/1984

10(e)(2)(iv). The Court or body taking the Action and its location

NASD

10(e)(2)(v). Description of the Action

THE NASD ALLEGED THE APPLICANT VIOLATED AN NASD RULE CONCERNING FREE-RIDING AND WITHHOLDING. THE APPLICANT AGREED TO A CENSURE AND FINE OF \$3,230.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$3,230; and Censure.

Entity information Related to item 10(e)(2) Record: 25

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Docket/Case Number 2006006509601

10(e)(2)(iii). Date of Action

11/02/2006

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA alleged Edward Jones violated MSRB Rule G-32 by failing to timely deliver official statements to certain customers in various transactions when Edward Jones was not an underwriter or member of the syndicate. FINRA also alleged Edward Jones violated MSRB Rules G-8, G-27 and G-17 in regards to certain record keeping requirements. Without admitting or denying the findings, Edward Jones consented to the described sanctions and entry of findings and was censured and fined \$900,000. Edward Jones is also required within 60 days of the notice of acceptance of this AWC to adopt and implement systems and procedures reasonably designed to ensure compliance with MSRB Rules G-32 and G-8, including systems and procedures to provide adequate oversight if third party vendors are utilized, and provide certification by the principal of operations

that Edward Jones has adopted and implemented supervisory systems and procedures to ensure compliance with MSRB Rules G-32 and G-8.

10(e)(2)(vi). The disposition of the proceeding

Monetary/Fine \$900,000; and Censure.

Entity information Related to item 10(e)(2) Record: 26

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

20,070,105,377

10(e)(2)(iii). Date of Action

08/03/2009

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA alleged Edward Jones violated NASD rules 2110, 3010(A), 3012(a)(2)(B)(i) by failing to establish, maintain and enforce a supervisory system, including written supervisory procedures that were reasonably designed to review and monitor all transmittals of funds from the accounts of customers to third party accounts. Edward Jones allegedly relied on a defective report, which was incomplete and inaccurate, to review and monitor third party wires from customer accounts, and failed to properly test and verify the system providing the report was functioning properly. As a result, the report failed to identify wires from accounts from which a former Edward Jones financial advisor was converting funds, and the financial advisor ultimately converted over \$3 million in customer funds.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying the findings, Edward Jones was censured and fined \$200,000.

Entity information Related to item 10(e)(2) Record: 27

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2009018103101)

10(e)(2)(iii). Date of Action

06/07/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that in 87 transactions, the firm purchased municipal securities for its own account from a customer and/or sold municipal securities for its own account to a customer at an aggregate price (including any mark-down or mark-up) that was not fair and reasonable, taking into consideration all relevant factors in violation of MSRB Rules G-17 and G-30(a).

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$160,000.00 fine.

Entity information Related to item 10(e)(2) Record: 28

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2010021566902)

10(e)(2)(iii). Date of Action

07/02/2012

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that from November 13, 2008

through November 30, 2009 (the "relevant time period"), failed to supervise a registered representative who converted approximately \$167,249 from a customer's Edward Jones account by falsifying the customer's signature on 51 Letters of Authorization (LOAs) and wiring those funds to a minor child's bank account. FINRA alleged that by virtue of this conduct, Edward Jones violated NASD Conduct Rules 2110 (for conduct before December 15, 2008) and 3010(b) and FINRA Rule 2010 (for conduct after December 14, 2008).

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$95,000.00 fine.

Entity information Related to item 10(e)(2) Record: 29

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2010022283702)

10(e)(2)(iii). Date of Action

01/09/2014

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that between January 1, 2008 and July 31, 2009, Edward Jones failed to establish and maintain a supervisory system, including written procedures, that was reasonably designed to ensure that the firm's sales of leveraged and inverse exchange traded funds (collectively "nontraditional ETFs") complied with applicable securities laws and NASD and FINRA rules in violation of NASD Conduct Rules 3010 and 2110, and FINRA Rule 2010. FINRA also alleged, that during the same time period, certain registered representatives of Edward Jones recommended nontraditional ETFs to customers without first investigating those products sufficiently to understand the features and risks associated with them, resulting in unsuitable recommendations in violation of NASD Conduct Rules 2310 and 2110, and FINRA Rule 2010.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure, a fine of \$200,000.00 and restitution of \$51,581.25 to affected customers.

Entity information Related to item 10(e)(2) Record: 30

10(e)(2)(i). The individuals named in the Action

Edward Jones

10(e)(2)(ii). Title of Action

Edward Jones (2010025367601)

10(e)(2)(iii). Date of Action

12/17/2012

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that prior to July 13, 2012, Edward Jones did not establish and maintain written supervisory procedures to ensure that registered representatives' Uniform Applications for Securities Industry Registration or Transfer ("Forms U4") were updated to reflect unsatisfied judgments and liens of which the Firm's Payroll Department was on notice. As a result, the Firm did not timely file Form U4 amendments in such circumstances. Such conduct constitutes a violation of Article V, Section 2(c) of the FINRA By-Laws, FINRA Rule 2010, and NASD Rules 3010(b) and 2110.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$35,000.00 fine.

Entity information Related to item 10(e)(2) Record: 31

10(e)(2)(i). The individuals named in the Action

Edward Jones

10(e)(2)(ii). Title of Action	Edward Jones (No. 2011027686301)
10(e)(2)(iii). Date of Action	07/09/2014
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA alleged that in six transactions for or with a customer, Edward Jones failed to use reasonable diligence to ascertain the best inter-dealer market and failed to buy or sell in such market so that the resultant price to its customer was as favorable as possible under prevailing market conditions in violation of FINRA Rule 2010 and NASD Rule 2320. FINRA also alleged that in 10 transactions, Edward Jones purchased municipal securities for its own account from a customer and/or sold municipal securities for its own account to a customer at an aggregate price (including any mark-down or mark-up) that was not fair and reasonable, taking into consideration all relevant factors in violation of MSRB Rules G-17 and G-30.
10(e)(2)(vi). The disposition of the proceeding	Without admitting or denying FINRA's findings, Edward Jones consented to a censure, a fine of \$21,100.00 and restitution to the affected customers in the amount of \$9,784.25.

Entity information Related to item 10(e)(2) Record: 32

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	Edward D. Jones & Co., L.P. (No. 2012031611301)
10(e)(2)(iii). Date of Action	10/10/2014
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA alleged that between August 2008 and June 2013, Edward Jones failed to develop and implement adequate anti-money laundering ("AML") procedures for reviewing deposits and liquidations of third-party stock certificates in customer accounts. FINRA also alleged that Edward Jones failed to obtain any information regarding the relationship between the stockholder and the account holder in such instances and failed to have procedures by which to track or investigate situations where third-party stock certificates were deposited into a Firm account in violation of NASD Rules 3011(a) (for conduct occurring before January 1, 2010) and 2110 (for conduct occurring before December 15, 2008) and FINRA Rules 3310(a) (for conduct occurring on or after January 1, 2010) and 2010 (for conduct occurring on or after December 15, 2008).
10(e)(2)(vi). The disposition of the proceeding	Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$100,000.00 fine.

Entity information Related to item 10(e)(2) Record: 33

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	Edward D. Jones & Co., L.P. (no. 2012032011102)
10(e)(2)(iii). Date of Action	01/15/2015
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA alleged that Edward Jones failed to adequately supervise the certification of customer signatures on certain documents that required Firm employees to attest that the customers had signed the documents in their presence by failing to establish, maintain, and enforce an adequate supervisory system and written procedures concerning the certification of customer signatures in violation of NASD Rules 3010 (a) and (b), NASD Rule 2110 (for the period before December 15,

2008) and FINRA Rule 2010 (for the period on or after December 15, 2008)

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$60,000.00 fine.

Entity information Related to item 10(e)(2) Record: 34

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2013037060701)

10(e)(2)(iii). Date of Action

01/23/2015

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that From December 1, 2006 to November 30, 2012 ("the relevant period"), Edward Jones failed to establish, maintain and enforce a supervisory system, including a written supervisory control system, reasonably designed to prevent unauthorized transfers of customer funds to third-party accounts, in violation of NASD Rules 3010, 3012(a)(2)(B)(i), 2110 and FINRA Rule 2010.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones settled the matter and consented to a censure and a fine of \$75,000.00.

Entity information Related to item 10(e)(2) Record: 35

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2014041068801)

10(e)(2)(iii). Date of Action

06/04/2015

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that, during the period from January 1, 2014 to March 31, 2014 Edward Jones failed to capture the correct time of trade execution for 306 transactions in TRACE-eligible securitized products. As a result, the firm: (1) failed to report to TRACE the correct time of trade execution for the 306 transactions; and, (2) failed to show the correct time of execution on the memorandum of 306 brokerage orders in violation of FINRA Rule 6730(c)(8), and Securities Exchange Act of 1934 Rule 17a-3 and FINRA Rules 2010 and 4511.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones settled the matter and consented to a censure and a \$10,000.00 fine.

Entity information Related to item 10(e)(2) Record: 36

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2015045354201)

10(e)(2)(iii). Date of Action

10/26/2015

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that Edward Jones disadvantaged certain retirement plan and charitable organization customers that were eligible to purchase Class A shares in certain mutual funds without a front-end sales charge ("Eligible Customers"). The Eligible Customers were instead sold Class A shares

with a front-end sales charge or Class B or C shares with back-end sales charges and higher ongoing fees and expenses. FINRA further alleged that Edward Jones failed to establish and maintain a supervisory system and procedures reasonably designed to ensure that Eligible Customers who purchased mutual fund shares received the benefit of applicable sales charge waivers in violation of NASD Conduct Rule 3010 (for misconduct before December 1, 2014), FINRA Rule 3110 (for misconduct on or after December 1, 2014), and FINRA Rule 2010.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones settled the matter and consented to a censure and remediation to the Eligible Customers.

Entity information Related to item 10(e)(2) Record: 37

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2015045548001)

10(e)(2)(iii). Date of Action

01/21/2016

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that from June 2009 through December 2014 (the "relevant period"), Edward Jones violated MSRB Rule G-27 by failing to reasonably supervise and to have an adequate supervisory system, including adequate written supervisory procedures, to address short positions in tax-exempt municipal bonds that resulted primarily from trading errors, resulting in the inaccurately representation to certain of its customers that certain interest paid to those customers was exempt from taxation in violation of MSRB Rules G-17 and G-8. FINRA also alleged that Edward Jones failed to maintain a record of the customers to whom its municipal short positions were allocated in violation MSRB Rule G-8.

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones consented to a censure and a \$200,000.00 fine.

Entity information Related to item 10(e)(2) Record: 38

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2015046579901)

10(e)(2)(iii). Date of Action

06/02/2017

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

Letter of Acceptance, Waiver and Consent FINRA alleged that Edward Jones (1) effected 188 customer transactions in a municipal security in an amount lower than the minimum denomination of the issue which were not subject to an exception. These transactions were concentrated in eight CUSIPs in violation of MSRB Rule G-15(f); (2) failed, in four instances, to provide the customer a written statement at or before completion of the transaction informing the customer that the quantity of securities being sold is below the minimum denomination for the issue in violation of MSRB Rule G-15(f)(iii); and, (3) failed to disclose all material facts concerning 192 municipal securities transactions at or prior to the time of trade in violation of MSRB Rule G-1 7 (for conduct occurring before July 5, 2014) and MSRB Rule G-47 (for conduct occurring on or after July 5, 2014).

10(e)(2)(vi). The disposition of the proceeding

Without admitting or denying FINRA's findings, Edward Jones settled the matter and consented to a censure, a \$210,000.00 fine, and an undertaking to submit satisfactory proof of offer of rescission.

Entity information Related to item 10(e)(2) Record: 39

10(e)(2)(i). The individuals named in the

Edward Jones

Action	
10(e)(2)(ii). Title of Action	Edward Jones (No. 2016048760501)
10(e)(2)(iii). Date of Action	02/01/2017
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA alleged that for two years, Edward Jones overcharged interest totaling approximately \$708,000 on loans to the owners of 6,127 customer accounts. The overcharges occurred because Edward Jones did not adequately supervise its system for determining the interest rates on those loans. As a result, Edward Jones violated NASD Rule 3010(a) and FINRA Rules 2010 and 3110(a).
10(e)(2)(vi). The disposition of the proceeding	Without admitting or denying FINRA's findings Edward Jones consented to a censure and \$125,000 fine. FINRA recognized Edward Jones' cooperation in voluntarily reporting and paying restitution of approximately \$708,000.

Entity information Related to item 10(e)(2) Record: 40

10(e)(2)(i). The individuals named in the Action	Edward Jones
10(e)(2)(ii). Title of Action	Edward Jones (No. 2016049783001)
10(e)(2)(iii). Date of Action	07/13/2017
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA found that during the period from April 2010 through 2014 (the "Relevant Period"), the Firm failed to establish, maintain, and enforce an adequate supervisory system, including written procedures, concerning the creation and dissemination of consolidated reports in violation of NASD Rule 3010(a) and FINRA Rule 2010.
10(e)(2)(vi). The disposition of the proceeding	Without admitting or denying FINRA's findings, Edward Jones consented to censure and a \$725,000 fine. The AWC recognized extensive remedial changes including enhancements to the Firm's systems.

Entity information Related to item 10(e)(2) Record: 41

10(e)(2)(i). The individuals named in the Action	Edward D. Jones & Co., L.P.
10(e)(2)(ii). Title of Action	Edward D. Jones & Co., L.P. (No. 2018056422401)
10(e)(2)(iii). Date of Action	06/19/2019
10(e)(2)(iv). The Court or body taking the Action and its location	FINRA
10(e)(2)(v). Description of the Action	Letter of Acceptance, Waiver and Consent FINRA alleged that by filing Forms U4 containing misleading information about the amount of alleged damages in customers' complaints, Edward Jones violated FINRA Rule 1122 and Article V, Section 2 of FINRA's by-laws, and consequently FINRA Rule 2010. FINRA noted that the inaccuracies in Edward Jones' Form U4 filings resulted from a misunderstanding by certain of Edward Jones' associates about the applicable requirements for disclosing customers' complaints and when FINRA identified the inaccuracies, Edward Jones promptly updated the Forms U4 at issue to reflect the specific amounts of the customers' alleged damages, provided additional training to its associates, and instituted additional safeguards for its process of disclosing customers' complaints.
10(e)(2)(vi). The disposition of the proceeding	The Firm consented to censure, a \$40,000 fine and to certify in writing that it had reviewed its systems, policies and procedures governing the analysis and disclosure of

alleged damages in customer complaints.

Entity information Related to item 10(e)(2) Record: 42

10(e)(2)(i). The individuals named in the Action

Edward D. Jones & Co., L.P.

10(e)(2)(ii). Title of Action

Edward D. Jones & Co., L.P. (No. 2020066649301)

10(e)(2)(iii). Date of Action

12/13/2022

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

On December 13, 2022, Edward Jones entered into a Letter of Acceptance Waiver and Consent (AWC) with FINRA without admitting or denying the findings. FINRA alleged that Edward Jones violated FINRA Rules 8210(a)(1) and 2010 by failing to timely, completely, and accurately produce certain call detail records in response to certain FINRA document requests between May 2017 and March 2021. Call detail records are not required broker-dealer books and records. FINRA alleged that Edward Jones represented to FINRA that call detail records older than 18 months were not available, but failed to search one storage location used by certain employees with an analytics tool and failed to promptly notify FINRA upon discovering the issue. FINRA further alleged that Edward Jones failed to preserve and produce to FINRA certain call detail records that were deleted pursuant to the company's document purge protocol.

10(e)(2)(vi). The disposition of the proceeding

Edward Jones agreed to a censure, to certify that it has established and implemented policies, procedures, processes and internal controls reasonably designed to address and remediate the issues identified in the AWC, and to pay a monetary fine of \$1.1 million.

Entity information Related to item 10(e)(2) Record: 43

10(e)(2)(i). The individuals named in the Action

Edward Jones

10(e)(2)(ii). Title of Action

Edward Jones, (No. 2021069467101)

10(e)(2)(iii). Date of Action

12/20/2024

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

On December 20, 2024, Edward Jones entered into a Letter of Acceptance Waiver and Consent with FINRA without admitting or denying the findings. FINRA alleged that, between January 2015 and June 2020, Edward Jones violated FINRA Rules 3110(a) and 2010 by failing to establish and maintain a system reasonably designed to supervise the application of sales charge waivers and fee rebates to which customers were entitled through rights of reinstatement offered by mutual fund companies. FINRA further alleged that, as a result, customers paid \$4,440,979 in excess sales charges and fees between January 2015 and June 2020.

10(e)(2)(vi). The disposition of the proceeding

Edward Jones was censured and ordered to pay restitution to customers in the amount of \$4,440,979 plus interest. Edward Jones must provide FINRA with proof of payment, or documented efforts undertaken to effect restitution, within 180 days of December 20, 2024.

10(e)(3). found the applicant or a control affiliate to have been the cause of an investment-related business losing its authorization to do business?

Yes No

10(e)(4). disciplined the applicant or a control affiliate by expelling or suspending it from membership, by barring or suspending its association with other members, or by

Yes No

otherwise restricting its activities?

10(f). Has any foreign government, court, regulatory agency or exchange ever entered an order against the applicant or a control affiliate related to investments or fraud?

Yes No

Entity information Related to item 10(f) Record: 1

10(f)(i). The individuals named in the Action

EDWARD JONES, AN ONTARIO LIMITED PARTNERSHIP

10(f)(ii). Title of Action

EC-2025-000028

10(f)(iii). Date of Action

11/18/2025

10(f)(iv). The Court or body taking the Action and its location

Canadian Investment Regulatory Organization

10(f)(v). Description of the Action

The Canadian Investment Regulatory Organization ("CIRO") alleged that Edward Jones, an Ontario limited partnership ("Edward Jones Canada") during the period of approximately September 2010 to August 2024, failed to establish and maintain a system of internal controls and supervision to ensure client fee agreements were accurately recorded and clients were charged appropriately, contrary to CIRO Dealer Member Rules 38.1 and 2500 (prior to 1/1/2022), and Investment Dealer Rule 3900 (after 1/1/2022).

10(f)(vi). The disposition of the proceeding

Without admitting or denying the statement of facts or violations of law, Edward Jones Canada and CIRO entered into a settlement agreement. Pursuant to the settlement agreement, Edward Jones Canada agreed to pay a fine in the amount of C\$122,500 and costs of C\$5,000. The fine and costs will be paid in accordance with the terms of the settlement agreement.

10(g). Is the applicant or a control affiliate now the subject of a proceeding that could result in a yes answer for questions 10(a) – 10(f) ?

Yes No

10(h). Has a bonding company denied, paid out on, or revoked a bond for the applicant or a control affiliate?

Yes No

10(i). Does the applicant or a control affiliate have any unsatisfied judgments or liens against it?

Yes No

TA-1/A : Signature

ATTENTION: INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACT CONSTITUTE FEDERAL CRIMINAL VIOLATIONS. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a)

SIGNATURE: The registrant submitting this form, and as required, the SEC supplement and Schedules A-D, And the executing official hereby represent that all the information contained herein is true, correct and complete.

11(a). Signature of Official responsible for Form:

James E. Crowe, III

11(b). Telephone Number:

314-515-2000

11(c). Title of Signing Officer:

Principal, Deputy General Counsel

11(d). Date Signed (Month/Day/Year):

06/02/2026