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 Detailed Report  Share

### Eric R Judge

ERIC RICARDO JUDGE

**CRD#: 2282538**

B Broker *Regulated by*  
**FINRA**

IA Investment Adviser 

#### EDWARD JONES

CRD#: **250**

25 Concord St  
GLASTONBURY, CT 06033



1



Disclosure

27 Years of Experience



6 Firms

7




Exams Passed

20



State Licenses

Disclosure(s)

View By: **Date** 

5/9/2022      Customer Dispute Denied



#### Allegations

Client alleges the FA made an unsuitable recommendation to withdraw funds from a Traditional IRA that resulted in tax consequences to the client.

Damage Amount Requested

\$14,000.00

### Broker Comment

After completion of the firm's investigation into client's allegations, claim was denied.

### Examination(s)

#### ■ State Securities Law Exam

B	IA	Series 66 - Uniform Combined State Law Examination	Jun 20, 2014
B		Series 63 - Uniform Securities Agent State Law Examination	Sep 11, 2001

#### ■ General Industry/Products Exam

B		SIE - Securities Industry Essentials Examination	Oct 1, 2018
B		Series 7 - General Securities Representative Examination	May 28, 2014
B		Series 6 - Investment Company Products/Variable Contracts Representative Examination	Feb 9, 2001
B		Series 52 - Municipal Securities Representative Examination	Oct 23, 1992

#### ■ Principal/Supervisory Exam

B		Series 26 - Investment Company Products/Variable Contracts Principal Examination	Oct 31, 2001
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Additional information including this individual's professional designations is available in the Detailed Report.

License(s)

**State Registrations**

B	Arizona	B	Minnesota
B	California	B	New Jersey
B	Connecticut	B	New York
IA	Connecticut	B	North Carolina
B	District of Columbia	B	Rhode Island
B	Florida	B	South Carolina
B	Georgia	B	Texas
B	Maine	IA	Texas
B	Maryland	B	Vermont
B	Massachusetts	B	Virginia

**SRO Registrations**

B	FINRA
B	NYSE American LLC
B	Nasdaq Stock Market
B	New York Stock Exchange

Not all jurisdictions require IAR registration or may have an exemption from registration.

✓ Current Registration(s)

B **EDWARD JONES (CRD#:250)**

📍 25 Concord St, GLASTONBURY, CT 06033

Registered with this firm since 4/15/2014

IA **EDWARD JONES (CRD#:250)**

📍 25 Concord St, GLASTONBURY, CT 06033

Registered with this firm since 8/18/2014

✓ Previous Registration(s)

		<b>Name</b>	<b>Location</b>
B	01/02/2013 - 11/06/2013	<a href="#">MML DISTRIBUTORS, LLC (CRD#:38030)</a>	ENFIELD, CT
B	08/21/2012 - 01/02/2013	<a href="#">HARTFORD SECURITIES DISTRIBUTION COMPANY, INC. (CRD#:37819)</a>	SIMSBURY, CT
B	01/01/2009 - 09/28/2010	<a href="#">HARTFORD SECURITIES DISTRIBUTION COMPANY, INC. (CRD#:37819)</a>	HARTFORD, CT
B	08/09/2005 - 01/01/2009	<a href="#">HARTFORD EQUITY SALES COMPANY INC. (CRD#:6604)</a>	HARTFORD, CT
B	02/12/2001 - 07/05/2005	<a href="#">TOWER SQUARE SECURITIES, INC. (CRD#:833)</a>	EL SEGUNDO, CA
B	10/26/1992 - 10/13/1998	<a href="#">ADVEST, INC. (CRD#:10)</a>	HARTFORD, CT

#### **Additional Information**

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

Click [here](#) for more information about how to check on an investment professional.

## B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

## IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser.

Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

## Previously Registered

A Previously Registered broker or brokerage firm is not currently licensed to act as a broker (buying and selling securities on behalf of customers) or as an investment adviser (providing advice about securities to clients). They may still be able to offer other investment-related services if properly licensed to do so. Click [here](#) to learn more.

## Disclosures

Disclosures can be customer complaints or arbitrations, regulatory actions, employment terminations, bankruptcy filings and certain civil or criminal proceedings that they were a part of.

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