STATE OF MISSOURI

DEPARTMENT OF INSURANCE, FINANCIAL INSTITUTIONS AND PROFESSIONAL REGISTRATION

P.O. Box 690, Jefferson City, Mo. 65102-0690

IN RE: EDWARD D. JONES
1245 JJ KELLY MEMORIAL DRIVE
ST. LOUISM MO 63131

Our File Number 07A000201

VOLUNTARY FORFEITURE

It is hereby agreed by Edward D. Jones & Company DBA Edward Jones and the Consumer Affairs Division of the Department of Insurance, Financial Institutions and Professional Registration, as follows:

WHEREAS, Douglas M. Ommen is the duly appointed Director of the Department of Insurance, Financial Institutions and Professional Registration, State of Missouri (hereinafter, Director) whose duties, pursuant to Chapter 375, RSMo, include the supervision and regulation of the business of insurance;

WHEREAS, the Consumer Affairs Division of the Department of Insurance, Financial Institutions and Professional Registration is charged with investigating producers and companies engaged in the business of insurance pursuant to Section 374.085, RSMo 2000 and is authorized by the Director to recommend enforcement action under the laws relating to insurance.

WHEREAS, Edward D. Jones & Company DBA Edward Jones is licensed as an insurance producer by the Department of Insurance, Financial Institutions and Professional Registration, pursuant to Chapter 375, RSMo;

WHEREAS, information has been received by the Consumer Affairs Division concerning Edward D. Jones & Company DBA Edward Jones, which alleges that the licensing staff of Edward D. Jones & Company DBA Edward Jones inadvertently credited a licensed producer with the completion of a four hour continuing education course and another firm associate erroneously credited the training which resulted in the material representation of a continuing education record. The licensing staff allowed the licensed producer to sign an incomplete insurance related document in attempt to renew an insurance license. The licensing staff of Edward D. Jones & Company DBA Edward Jones listed a WebCE course on Continuing Education Certification Summary form which the insurance producer did not attend, subjecting Edward D. Jones & Company DBA Edward Jones to possible enforcement action by the Director under 375.141.1 (8) RSMo Cum Supp;

WHEREAS, Edward D. Jones & Company DBA Edward Jones has been informed of the nature of the violations, of their right to counsel and of their right to contest any attempt by the Department of Insurance, Financial Institutions and Professional Registration, to discipline the insurance producer license, or to recover whatever penalties or other monetary relief as may be provided for by statute, and states that his understands his/her rights to contest any such actions;

NOW, THEREFORE, in complete settlement of the investigation in File Number 07A000201, in lieu of the institution by the Department of Insurance, Financial

Institutions and Professional Registration of any action to revoke or suspend the insurance producer license of Edward D. Jones & Company DBA Edward Jones or to impose any other penalties provided for by statute for the above-described violations, after being afforded the opportunity to consult legal counsel, Edward D. Jones & Company DBA Edward Jones, without any admission of a violation of the law, does hereby voluntarily and knowingly surrender and forfeit the sum of $1000.00, such sum to be paid into the Missouri State School Fund pursuant to Sections 374.046 and 374.280, RSMo.

Edward D. Jones & Company DBA Edward Jones shall submit this sum to the Department of Insurance, Financial Institutions and Professional Registration, by cashier's check or money order made payable to the Missouri State School Fund no later than June 29, 2007.

DATED: July 24, 2007

DOUGLAS M. OMMEN
Director

DATED: 6/29/07

Pamela K. Cavness
~~Owner/Officer~~
Chief Compliance Officer

DATED: 7/19/07

Kathyrn L. R. Turner
Consumer Affairs Division Counsel