



06043041

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

## FORM D

## NOTICE OF SALE OF SECURITIES

PURSUANT TO REGULATION D,  
SECTION 4(6), AND/OR

## UNIFORM LIMITED OFFERING EXEMPTION

## OMB APPROVAL

OMB number.....3235-0076  
Expires:.....May 31, 2008  
Estimated average burden  
hours per response.....1.00

## SEC USE ONLY

Prefix Serial

## DATE RECEIVED

Name of Offering: ☐ (check if this is an amendment and name has changed, and indicate change.)**The Jones Financial Companies, L.L.P. - up to \$700,000.00 of subordinated limited partnership interests.**Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 ☒ Rule 506 ☐ Rule 4(6) ☐ ULOEType of Filing: ☒ New Filing ☐ Amendment

## A. BASIC IDENTIFICATION DATA

1. Enter the information requested about the issuer

Name of Issuer: ☐ (check if this is an amendment and name has changed, and indicate change.)**The Jones Financial Companies, L.L.P.**Address of Executive Offices (Number and Street, City, State, Zip Code)  
**12555 Manchester Road, St. Louis, MO 63131**Telephone Number (Including Area Code)  
**(314) 515-5240**

Address of Principal Business Operations (if different from Executive Offices) (Number and Street, City, State, Zip Code)

Telephone Number (Including Area Code)

Brief Description of Business

**Limited Partnership Holding Company of Securities Broker/Dealer**

Type of Business Organization

☐ corporation ☒ limited partnership, already formed ☐ other (please specify):  
☐ business trust ☐ limited partnership, to be formedActual or Estimated Date of Incorporation or Organization: Month Year ☒ Actual ☐ Estimated  
**June 1987**Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postage Service abbreviation for State: **MO**  
CN for Canada; FN for other foreign jurisdiction)

## GENERAL INSTRUCTIONS

## Federal:

**Who Must File:** All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 U.S.C. 77d(6).**When To File:** A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at the address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.**Where to File:** U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.**Copies Required:** Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.**Information Required:** A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.**Filing Fee:** There is no federal filing fee.

## State:

This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires the payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

## ATTENTION

**Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.**

## A. BASIC IDENTIFICATION DATA

2. Enter the information requested for the following:
- Each promoter of the issuer, if the issuer has been organized within the past five years;
  - Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
  - Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
  - Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☒ General and/or Managing Partner

Full Name (Last name first, if individual)

**Weddle, James D. (Managing Partner)**

Business or Residence Address (Number and Street, City, State, Zip Code)

**12555 Manchester Road, St. Louis, MO 63131**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☒ General and/or Managing Partner

Full Name (Last name first, if individual)

**(Please see attached schedule for a continuation of General Partners)**

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

| Name                         | Address                                  | City             | State  | Zip     | Country |
|------------------------------|------------------------------------------|------------------|--------|---------|---------|
| Alm, Kevin Russell           | 1644 Strecker Ridge Court                | Wildwood         | MO     | 63011   | USA     |
| Andersen, Douglas R.         | 124 White Pine Rd                        | Lino Lakes       | MN     | 55014   | USA     |
| Anderson, Kimberly Gannon    | 128 Meramec Oak Ridge                    | Fenton           | MO     | 63026   | USA     |
| Anderson, Neil A.            | 700 W 71 S                               | BLACKFOOT        | ID     | 83221   | USA     |
| Arnone, Scott William        | 2156 Allen Drive                         | Clarkston        | WA     | 99403   | USA     |
| Ashworth, Brian David        | 1443 Wellington View Ln                  | Wildwood         | MO     | 63005   | USA     |
| Aumann, Thomas Edward        | W8444 Cerveny Lane                       | Shawano          | WI     | 54166   | USA     |
| Bahr, Rodney Thomas          | 2462 Christopher Winds Lane              | St Louis         | MO     | 63129   | USA     |
| Bailey, Leonard John         | Rr 2 Mission Road                        | Goulais River    | ON     | P0S1E0  | CAN     |
| Baldridge, Robert Anthony    | 10586 Sunset Pines Ct                    | St Louis         | MO     | 63128   | USA     |
| Barber, Jim                  | 1696 Natchez Trace                       | Greensboro       | NC     | 27455   | USA     |
| Barrows, Joseph L.           | 1155 N High Street                       | Lancaster        | OH     | 43130   | USA     |
| Basler, Craig Joseph         | 824 Justerini Drive                      | Balkwin          | MO     | 63011   | USA     |
| Bastien, Kevin D             | 1917 Sunny Drive                         | Kirkwood         | MO     | 63122   | USA     |
| Baumgartel, Armin C          | 2410 Danbury Ct SE                       | Olympia          | WA     | 98501   | USA     |
| Beck, Robert                 | 21 River Trail Dr                        | St Charles       | MO     | 63303   | USA     |
| Behrens, Karin Jean          | 1 Hillside Avenue                        | Exeter           | NH     | 03833   | USA     |
| Bennett, Doug                | 1203 Appleford Lane                      | Burlington       | ON     | L7P3M1  | CAN     |
| Bertsch, Thomas Lee          | 3709 34th Street                         | Columbus         | NE     | 68601   | USA     |
| Beuerlein, John Dee          | 13315 Tree Top View Ct                   | Town and Country | MO     | 63141   | USA     |
| Blackley, Edgar Leonard      | 3513 Harry Davis Road                    | Bullock          | NC     | 27507   | USA     |
| Bokhoven, Howard W.          | 255 Lakeview Dr                          | Sanford          | NC     | 27332   | USA     |
| Bouvy, John Christopher      | 5281 OAKBROOK DR                         | PLAINFIELD       | IN     | 46168   | USA     |
| Bowman, Scott R              | 2509 Capilano Crescent                   | Oakville         | ON     | L6H6L4  | USA     |
| Box, Ken Paul                | 330 HUNTER PASS                          | WAXAHACHIE       | TX     | 75165   | USA     |
| Boyd, Robb Ross              | Loxley<br>58 Cranley Rd.<br>Burwood Park | Walton-on-Thames | SURREY | KT125BS | GBR     |
| Bozka, Robert Joseph         | 1102 Pine Hollow Drive                   | Friendswood      | TX     | 77546   | USA     |
| Bradley, Dale L.             | 4715 West Pebble Beach Drive             | Wadsworth        | IL     | 60083   | USA     |
| Branicka, Agnieszka          | 3255 B-Line Rd RR 6                      | Pembroke         | ON     | K8A6W7  | CAN     |
| Broderick III, William Henry | 1100 Wheaton Hill Ct                     | Town and Country | MO     | 63131   | USA     |
| Brown, George N.             | 817 Via Marchella                        | Schenectady      | NY     | 12303   | USA     |
| Brown, Morton L              | 1707 Mason Knoll Rd                      | St Louis         | MO     | 63131   | USA     |

|                            |                             |                  |    |        |     |
|----------------------------|-----------------------------|------------------|----|--------|-----|
| Brownfield Sr, Jon         | Sycamore Farms              | York             | SC | 29745  | USA |
| Bruns, David Carl          | 282 West Mount Gallant Road | Washington       | IA | 52353  | USA |
| Budd, Scott H.             | 2760 Coppock Road           | Cary             | IL | 60013  | USA |
| Burkemper, Matthew William | 571 Glen Garry Road         | Columbia         | IL | 62236  | USA |
| Burkhardt, Connie Mary Ann | 366 North Ridge Road        | Frontenac        | MO | 63131  | USA |
| Burnes, Mary Ann           | 12 Huntleigh Downs          | St Louis         | MO | 63131  | USA |
| Burwell, Donald James      | 723 Briar Fork Rd           | Oakville         | ON | L6M3K5 | CAN |
| Cahill, Jack Lauren        | 1052 Old Oak Drive          | Town and Country | MO | 63141  | USA |
| Campbell, Brett A          | 13 Muirfield Ln             | Kirkwood         | MO | 63122  | USA |
| Campbell, William Fraser   | 625 No Clay Ave             | Chesterfield     | MO | 63017  | USA |
| Carani, Steven G           | 671 Spyglass Summit         | Ballwin          | MO | 63021  | USA |
| Casella, Guy Robert        | 712 Castle Ridge Dr         | St Louis         | MO | 63131  | USA |
| Cavness, Pamela Kay        | 14 Clayton Hills            | St Albans        | MO | 63073  | USA |
| Cella Jr, Kenneth Ray      | 363 Merlot Ln               | St Albans        | MO | 63073  | USA |
| Chareth, Marc David        | 520 Deer Valley Ct          | Amherst          | NH | 03031  | USA |
| Charles III, James W.      | 1 Harvest View Drive        | Oak Ridge        | TN | 37830  | USA |
| Christensen Jr, Richard A  | 123 Dansworth Lane          | St Charles       | MO | 63304  | USA |
| Christensen, Mark S.       | 55 West Meath Ring          | CHESTERFIELD     | MO | 63005  | USA |
| Ciapiak, Robert James      | 17110 SURREY VIEW DRIVE     | St Louis         | MO | 63124  | USA |
| Clement, Stephen Paul      | 9851 Waterbury Drive        | Maryville        | IL | 62062  | USA |
| Clements, Joseph Edward    | 41 Cheshire Dr              | Spokane          | WA | 99208  | USA |
| Collison, Scott Casper     | 16508 N Brannon LN          | Pierre           | SD | 57501  | USA |
| Comfort, John Allen        | 700 W Elizabeth             | Overland Park    | KS | 66213  | USA |
| Conrad, Donald Paul        | 13014 W 128th Terrace       | Spring Hill      | FL | 34607  | USA |
| Coon, Gary Joseph          | 5299 Suwannee Road          | Port Clinton     | OH | 43452  | USA |
| Cope, Geri Danielle        | 1750 N Lakewood Ave         | Kirkwood         | MO | 63122  | USA |
| Corlett, William Max       | 1310 Lockett Lane           | Pryor            | OK | 74361  | USA |
| Cotton, Roger Matthew      | 1401 Lakeview Dr            | Baton Rouge      | LA | 70817  | USA |
| Covey, Duane James         | 19612 Creek Round Avenue    | Seattle          | WA | 98115  | USA |
| Covington, Ronald Robert   | 8794 Paisley Dr Ne          | Fort Wayne       | IN | 46814  | USA |
| Crump, Kyle Ray            | 4428 Scotia Dr              | Peoria           | AZ | 85381  | USA |
| Curran, Thomas Patrick     | 15051 N 73rd Dr             | Kirkwood         | MO | 63122  | USA |
| Curry, Robert Thomas       | 530 E Essex Ave             | Kingwood         | TX | 77339  | USA |
|                            | 47 Links Side Ct            |                  |    |        |     |

|                          |                                |                |    |        |     |
|--------------------------|--------------------------------|----------------|----|--------|-----|
| Damico,Anthony           | 735 Hesemann Ridge Ct          | Ballwin        | MO | 63021  | USA |
| Davis,Jeffrey Clifford   | 3309 Quail Ridge Road          | Kinston        | NC | 28504  | USA |
| Dentinger,Brian Thomas   | 2187 N Ridge Trail             | Oakville       | ON | L6H6W7 | CAN |
| Dille,John Perrault      | 891 Durrow Dr                  | St Louis       | MO | 63141  | USA |
| Ding-Lampman, Veronica   | 374 The Kingsway               | Etobicoke      | ON | M9A3V6 | CAN |
| Doak,Thomas L.           | 1690 Corsica Drive             | Wellington     | FL | 33414  | USA |
| Docksey,James Eldred     | 15716 93rd Avenue              | Chippewa Falls | WI | 54729  | USA |
| Dollinger,Edward Joseph  | 604 Timberline Drive           | Joliet         | IL | 60431  | USA |
| Donaldson,Brian D        | 1030 River Dr                  | Franklin       | PA | 16323  | USA |
| Doria,Cynthia Ann        | 20 Hill Drive                  | Glendale       | MO | 63122  | USA |
| Dosmann,Gregory Blake    | 18015 Little Pine Ct           | Chesterfield   | MO | 63005  | USA |
| Dude,Kenneth M           | 322 S Woodlawn Ave             | Kirkwood       | MO | 63122  | USA |
| Dwyer,William Thomas     | 4432 Hillcrest Drive           | Salem          | IL | 62881  | USA |
| Eaker,Norman             | 20 Country Club Woods          | St Charles     | MO | 63303  | USA |
| Easterling,Kenneth L.    | 214 Fawn Lane                  | Prattville     | AL | 36067  | USA |
| Eon,George Edward        | 875 Woodhill Road              | Campbellsville | KY | 42718  | USA |
| Esser,Michael Joseph     | 109 Forest Club Dr             | Chesterfield   | MO | 63005  | USA |
| Evans,Jordan William     | 1800 S Brentwood Blvd Apt 1111 | Brentwood      | MO | 63144  | USA |
| Evans,Kirk William       | 2249 Candlewood Dr             | Charlotte      | MI | 48813  | USA |
| Ewing,James David        | 1011 Oakdale Road NE           | Atlanta        | GA | 30307  | USA |
| Farley,Brian Edward      | 1505 E 14th St No 14           | Atlantic       | IA | 50022  | USA |
| Felten,Mark Leslie       | 1825 Aston Way                 | Chesterfield   | MO | 63005  | USA |
| Ferrari,Vincent Joseph   | 16216 Thornberry Ridge Lane    | Wildwood       | MO | 63038  | USA |
| Fiala,William Elliott    | 411 Conway Aire                | Saint Louis    | MO | 63141  | USA |
| Ficken,Ann Marie         | 42 Wolverton Court             | St Charles     | MO | 63301  | USA |
| Finn,Timothy Vincent     | 16309 Idlewood Ct              | Chesterfield   | MO | 63005  | USA |
| Flatt,Kevin Norman       | 14285 Dinsmoor Dr              | Chesterfield   | MO | 63017  | USA |
| Flynn,Timothy Joseph     | 5 Hillcrest Place              | Kirkwood       | MO | 63122  | USA |
| Forcade,Daniel Floyd     | 704 East Bellerive Place       | Chandler       | AZ | 85249  | USA |
| Fraser,John David        | 2822 Teal Drive                | New Iberia     | LA | 70560  | USA |
| French Sr,Kenneth Joseph | 113 Tropical                   | Victoria       | TX | 77904  | USA |
| Frick,Bradley Lewis      | 449 Sherwood                   | Webster Groves | MO | 63119  | USA |
| Friday,Donald Ray        | 9208 Stonebriar CR             | Shreveport     | LA | 71115  | USA |
| Fruit,Jeffrey Lee        | 4209 Wren Ct                   | Grand Prairie  | TX | 75052  | USA |

|                             |                                |                 |    |        |     |
|-----------------------------|--------------------------------|-----------------|----|--------|-----|
| Gaither, Laurence Gregory   | 3200 Cherry Place              | Muskogee        | OK | 74403  | USA |
| Gee, Rodney Carlton         | 17840 West Hampton Woods Drive | Wildwood        | MO | 63005  | USA |
| Gilkison, Chris Alan        | 15903 Picardy Crest Ct         | Chesterfield    | MO | 63017  | USA |
| Gleghorn, Regina Sheila     | 6265 Cr 2510                   | Pomona          | MO | 65789  | USA |
| Goldberg, Steven Lee        | 38 Portland Drive              | St Louis        | MO | 63131  | USA |
| Gorgen, Ronald Lee          | 1509 Carman Glen Court         | Manchester      | MO | 63021  | USA |
| Gorman, William T.          | 250 Wilder Street              | Philadelphia    | PA | 19147  | USA |
| Greenwald, Ellis William    | 105 Shannon Dr                 | Andalusia       | AL | 36420  | USA |
| Haarberg, Kevin C.          | 937 Fairview Drive             | Woodland        | CA | 95695  | USA |
| Hamilton, Stuart E.         | 7140 Charter on Flat Rock      | Covington       | GA | 30014  | USA |
| Hargiss, Bryan Eugene       | 220 Bluff View Circle          | St Louis        | MO | 63129  | USA |
| Hayman, Craig               | 151 Aintree Terrace            | Oakville        | ON | L6J5J4 | CAN |
| Haynes, Randy Keith         | 601 Loughmor Pass              | Weldon Spring   | MO | 63304  | USA |
| Heidari, Alex Ghobad        | 16314 Peppermill Drive         | Chesterfield    | MO | 63005  | USA |
| Heisler, Peter Ramsey       | 567 Se Vista Dr                | Newport         | OR | 97365  | USA |
| Helbert, Clifton Lee        | 9 Sir Ryan Drive               | Chesterfield    | MO | 63017  | USA |
| Hemmingsen, Eric L.         | 1600 S 105 <sup>th</sup>       | Lincoln         | NE | 68520  | USA |
| Herbster, Steven Lee        | 11060 Cr 10                    | Middlebury      | IN | 46540  | USA |
| Heying, Mary Beth           | 203 Wizard Court               | St Charles      | MO | 63304  | USA |
| Hill, Douglas E             | 23 Twin Springs Lane           | Saint Louis     | MO | 63124  | USA |
| Hill, Jesse David           | 7570 Byron Place Unit 2E       | Clayton         | MO | 63105  | USA |
| Hizar Jr, Thomas William    | 449 E Bodley Ave               | St Louis        | MO | 63122  | USA |
| Hoachlander, Jeffrey Lynn   | 910 Wennich Street             | Harrisburg      | PA | 17112  | USA |
| Hochstetler, William Henson | 164 W Lakeshore Drive          | Thibodaux       | LA | 70302  | USA |
| Holder, Scott Parker        | 2244 Nightingale Drive         | Santa Rosa      | CA | 95403  | USA |
| Homra, William Allen        | 2006 Hemme Rd                  | Stuttgart       | AR | 72160  | USA |
| Honeycutt, Garland          | 750 Normandy Road              | Normandy        | TN | 37360  | USA |
| Hood, Jerry A.              | 11 Spring Ridge Dr             | Great Falls     | MT | 59404  | USA |
| Hood, William Edward        | 5550 Roy Pitt Road             | Springfield     | TN | 37172  | USA |
| Hoover Jr, Charles Russell  | 761 Chestnut Court             | Port Townsend   | WA | 98368  | USA |
| Hope III, Ruben Wert        | 7210 Foster Island Drive       | Richmond        | TX | 77469  | USA |
| Howard, Don R.              | 6 Woodhaven                    | Henderson       | TX | 75652  | USA |
| Huss, Julie Modde           | 7153 Kingsbury Blvd            | University City | MO | 63130  | USA |
| Inglett, Eric Charles       | 168 North Goldenspur Way       | Orange          | CA | 92869  | USA |

|                           |                             |                 |    |       |     |
|---------------------------|-----------------------------|-----------------|----|-------|-----|
| Jansen, James David       | 984 Sheffield Forest Court  | Wildwood        | MO | 63021 | USA |
| Jelkin, Joel Lynn         | 1967 Parkview               | Fremont         | NE | 68025 | USA |
| Jezak-Webb, Kim Kana      | 12449 N 91st Way            | Scottsdale      | AZ | 85260 | USA |
| Johnson, John Elwin       | 2210 Kchrs Ridge Drive      | Clarkson Valley | MO | 63005 | USA |
| Johnson, Kristin Michele  | 4120 Aberdeen Pl            | Swansea         | IL | 62226 | USA |
| Jones Jr, Wendell Elmore  | 824 Mohawk Drive            | Florence        | SC | 29501 | USA |
| Junis, Steven Edward      | 7809 Loch Lane              | Columbia        | SC | 29223 | USA |
| Kecheley Jr, Darroll Dean | 14 Scenic Cove Lane         | St Charles      | MO | 63303 | USA |
| Keeley, John Michael      | 2420 Fawn Lake Circle       | Naperville      | IL | 60564 | USA |
| Kelly, Myles Patrick      | 2150 Riding Trail Drive     | Chesterfield    | MO | 63005 | USA |
| Kelly, Timothy M          | 481 Hillbrook               | Ballwin         | MO | 63011 | USA |
| Kersey, Dallas Manyette   | 154 Steep Hill Rd           | Weston          | CT | 06883 | USA |
| Kimbel, Larry Alan        | 20724 Courtney Pl Dr        | Warrenton       | MO | 63383 | USA |
| Kimes, Bret David         | 265 Blackmer Place          | St Louis        | MO | 63119 | USA |
| King, Kenneth Glen        | 6978 Cornell                | University City | MO | 63130 | USA |
| King, Michael William     | 19163 6565 Road             | Montrose        | CO | 81401 | USA |
| Kirley, Timothy John      | 16 Scarsdale Villas         | London          |    | W86PR | GBR |
| Koehl, Timothy James      | 978 Sheffield Forest Ct     | Ballwin         | MO | 63021 | USA |
| Kreker, James Andrew      | 18 Thorndell Drive          | St Louis        | MO | 63117 | USA |
| Krupela, Paul Joseph      | 12011 Manhattan Place Drive | Des Peres       | MO | 63131 | USA |
| Lane, David Lawrence      | 2115 White Lane Drive       | Chesterfield    | MO | 63017 | USA |
| Large, Daniel D           | 5253 Golf Course Dr         | Morrison        | CO | 80465 | USA |
| Lawrence, Alan Edward     | 27076 Ohio Avenue Ne        | Kingston        | WA | 98346 | USA |
| Leathers, Phillip Roark   | 1800 Oak Tree Ridge Road    | Chesterfield    | MO | 63005 | USA |
| Lee, Janice Suen          | 431 Burnett Ave             | San Francisco   | CA | 94131 | USA |
| Lenser, Philip G.         | 11 Ramblewood Wy            | Woodbridge      | CA | 95258 | USA |
| Leonard, Kirk Michael     | 710 Hallmark Rond           | Pella           | IA | 50219 | USA |
| Leopold, Geoffrey Matthew | 2671 Ranch Reserve Ridge    | Westminster     | CO | 80234 | USA |
| Lewis, Kevin Paul         | 6105 E 60th Street South    | Derby           | KS | 67037 | USA |
| Liebman, Michele Mary     | 449 Oakshire Ln             | Kirkwood        | MO | 63122 | USA |
| Liesenfeld, Rhonda Lee    | 706 Hesemann Ridge Ct       | Wildwood        | MO | 63021 | USA |
| Lindsey, John C.          | 12416 Willow Hill Drive     | Moorpark        | CA | 93021 | USA |
| Link, Richard David       | 2271 Desloge Estates Dr     | Villa Ridge     | MO | 63089 | USA |
| Lodes, Michael Joseph     | 157 Helfenstein             | Webster Groves  | MO | 63119 | USA |

|                            |                                  |                  |    |        |     |
|----------------------------|----------------------------------|------------------|----|--------|-----|
| Logan, Neal                | 904 Jennifer Court               | Gleburne         | TX | 76033  | USA |
| Long, David Earl           | 16038 S 31st St                  | Phoenix          | AZ | 85048  | USA |
| Lynch, Edmond R.           | 1165 Miners Road                 | Rochester        | MI | 48306  | USA |
| Maitra, Sucharita          | 521 Cochise Cres                 | Mississauga      | ON | L5H1Y3 | CAN |
| Malone, Richie             | 14 Upper Conway Lane             | Chesterfield     | MO | 63017  | USA |
| Mangum, J Kevin            | 2203 LAKE FOREST                 | WEATHERFORD      | TX | 76087  | USA |
| Mann, Ronald Elbert        | 420 4th Avenue SE                | Cullman          | AL | 35055  | USA |
| Markland, James Edward     | 13 Timberwood                    | Maryville        | IL | 62062  | USA |
| Marshall, Antony David     | 18034 pine canyon ct             | wildwood         | MO | 63005  | USA |
| Mayo, David Albert         | 7329 Van Gogh Dr                 | Dardenne Prairie | MO | 63368  | USA |
| McCoy, Timothy Jay         | 717 Lakeshore Ridge Ct           | Glencoe          | MO | 63038  | USA |
| McGregor, Robin Bruce      | 8800 SE KINGSWOOD                | GRESHAM          | OR | 97080  | USA |
| Melson, Harold Edward      | 113 Elm Street                   | Martin           | TN | 38237  | USA |
| Michelman, Jeremy Leland   | 2226 Kehrs Ridge Drive           | Chesterfield     | MO | 63005  | USA |
| Migueron, Thomas L         | 613 Wyndham Crossing Cir         | Des Peres        | MO | 63131  | USA |
| Miller Jr, Richard G       | 109 Russell Street               | Mount Pleasant   | MI | 48858  | USA |
| Million, Larry R.          | 5107 Ashford Glen Ct Nw          | Canton           | OH | 44718  | USA |
| Milner, Arland Jarome      | 417 Sun Dial                     | Madison          | MS | 39110  | USA |
| Monson, Gregory Veldon     | 1301 Huron Circle                | Sheboygan Falls  | WI | 53085  | USA |
| Mood, Stephen L.           | 34492 Hanky Road                 | St Helens        | OR | 97051  | USA |
| Mosbacher, Merry Lynne     | 1025 Bristol Manor Dr            | Ballwin          | MO | 63011  | USA |
| Mosca, Barbara J           | 25 Neptune Blvd Apt 9-D          | Long Beach       | NY | 11561  | USA |
| Muenz, Ken James           | 2111 Leverenz                    | Naperville       | IL | 60564  | USA |
| Murphy, John William       | 1056 Taft Rd                     | Chesapeake       | VA | 23322  | USA |
| Myers, Douglas             | 22433 NE Marketplace Drive N1104 | Redmond          | WA | 98053  | USA |
| Ney, Timothy James         | 1514 West Oriole Way             | Chandler         | AZ | 85248  | USA |
| Novik, Steven              | 6431 Wydown Blvd                 | St Louis         | MO | 63105  | USA |
| O'Bryant, Donna Mae        | 14410 Granby Rd                  | Colorado Springs | CO | 80921  | USA |
| O'Dell, Rick Claude        | 9788 Carriage Run Court          | Loveland         | OH | 45140  | USA |
| Orban, Charles Christopher | 455 Ludlow Road                  | Xenia            | OH | 45385  | USA |
| Otto, David Gilbert        | 1783 Canyon View Ct              | Chesterfield     | MO | 63017  | USA |
| Owen, Philip Daniel        | 18212 Ashford Oaks Drive         | Wildwood         | MO | 63038  | USA |
| Palmer, Beverly A          | 7338 Pershing Ave                | St Louis         | MO | 63130  | USA |
| Panagos, George L.         | 5A Paseo Del Paisano             | Santa Fe         | NM | 87506  | USA |

|                          |                             |                 |        |         |     |
|--------------------------|-----------------------------|-----------------|--------|---------|-----|
| Panchot,Jeffrey Joseph   | 1624 Ashford Oaks Court     | Wildwood        | MO     | 63038   | USA |
| Paolino,Carmine Charles  | 64 OCEAN AVE                | WAKEFIELD       | RI     | 02879   | USA |
| Parmer,Carolyn Ann       | 675 Legends View Drive      | Eureka          | MO     | 63025   | USA |
| Pax,James Louis          | 1310 Kerria                 | McAllen         | TX     | 78501   | USA |
| Peel,Lisa Lynn           | 2167 Riding Trail Dr        | Chesterfield    | MO     | 63005   | USA |
| Pennington,Penelope      | 1800 Brentwood Blvd Apt 625 | St Louis        | MO     | 63144   | USA |
| Peterson,Peter Christian | 2043 S Capella Ct           | Costa Mesa      | CA     | 92626   | USA |
| Phelps,Steven Charles    | 1429 Rockledge Drive        | Rockledge       | FL     | 32955   | USA |
| Phillips,James Harold    | 138 Church St               | Waynesville     | NC     | 28786   | USA |
| Pisa DiMaggio,Maria      | 29728 Triunfo Dr            | Agoura          | CA     | 91301   | USA |
| Powell,Judson Alan       | 1417 Woodridge              | Abilene         | TX     | 79605   | USA |
| Power,Danny Dwain        | 6903 North Monroe Street    | Hutchinson      | KS     | 67502   | USA |
| Powers,David Francis     | 762 Southern Hills Drive    | Eureka          | MO     | 63025   | USA |
| Prato,Steven Francis     | 1570 Rahway Rd              | Scotch Plains   | NJ     | 07076   | USA |
| Pray,Warren Charles      | 7223 Legler                 | Shawnee         | KS     | 66217   | USA |
| Pyle,Ronald Keith        | 3320 Garwick Pl             | Farmers Branch  | TX     | 75234   | USA |
| Raley Jr,Ray Wallace     | 1467 Crooked Stick          | O'Fallon        | MO     | 63366   | USA |
| Raley,Colleen G          | 255 Edwin Ave               | St Louis        | MO     | 63122   | USA |
| Reamey,Gary Dale         | 1164 Cloverbrae Cres        | Mississauga     | ON     | L5H2Z8  | CAN |
| Reedy,Michelle Lynne     | 414 Dickson Avenue          | St Louis        | MO     | 63122   | USA |
| Reese Jr,Trevor David    | 714 Rietzke Mountain Tr     | Ellisville      | MO     | 63021   | USA |
| Regnier,James Leo        | 12614 W Watson Rd           | St Louis        | MO     | 63127   | USA |
| Reifschneider,David Lee  | 821 Timber Lake Drive       | Washington      | MO     | 63090   | USA |
| Reis,Michelle Marie      | 23411 Bayview Drive         | Cohasset        | MN     | 55721   | USA |
| Renner,Elaine Rae        | 4216 Cowdray Park Ct        | Shiloh          | IL     | 62269   | USA |
| Richards,Steven Robert   | 112 Donegal Dr              | Chapel Hill     | NC     | 27517   | USA |
| Riggan,Timothy Wayne     | 4406 Round Top Road         | Snyder          | TX     | 79549   | USA |
| Riseling,Laurence Craig  | 403 Carson                  | Dumas           | TX     | 79029   | USA |
| Robbins Jr,Ray L         | 114 Shady Valley            | Chesterfield    | MO     | 63017   | USA |
| Roberts,Wesley Hansell   | 8016 Skyhills Drive         | Anchorage       | AK     | 99502   | USA |
| Roberts-Pitts,Emily      | 516 Castle Terrace Ct       | Ballwin         | MO     | 63021   | USA |
| Rogers,Charles Nelson    | 2150 Englewood Terr Ct      | Chesterfield    | MO     | 63017   | USA |
| Rogers,Timothy Charles   | 256 Muse Drive              | El Dorado Hills | CA     | 95762   | USA |
| Roof,Michael Kevin       | The Chestnuts               | Cobham          | SURREY | KT111EU | GBR |



|                              |                                 |                  |    |         |     |
|------------------------------|---------------------------------|------------------|----|---------|-----|
| Thomas, Lawrence E           | 11204 Tri Lane Dr               | Creve Coeur      | MO | 63141   | USA |
| Thompson, Robert George      | 11 Queen Mary's Dr              | Etobicoke        | ON | M8X1S1  | CAN |
| Timm, Daniel John            | 201 St Andrews Dr               | St Albans        | MO | 63073   | USA |
| Trammell, Bill Dean          | 5801 Country Club Ter           | Edmond           | OK | 73003   | USA |
| Tricarico Jr, James A        | 766 Park Ave                    | Manhasset        | NY | 11030   | USA |
| Tucker, Suzanne Frances      | 500 south brown street          | edwardsville     | IL | 62025   | USA |
| Unnerstall, Richard Gerard   | 309 Locust St                   | Washington       | MO | 63090   | USA |
| Van Loo, Loren Richard       | 1242 State Ave Ste 1 PMB 227    | Marysville       | WA | 98270   | USA |
| Van Genderen, Scott D        | 804 Pebblefield Terr            | Manchester       | MO | 63021   | USA |
| Vento Jr, Vincent Anthony    | 1918 Lone Trail Ln              | Chesterfield     | MO | 63017   | USA |
| Ward, David Patrick          | 4102 Carnation                  | Arlington        | TX | 76016   | USA |
| Warne, F Katharine           | 801 S Skinner Blvd Apt 14B      | Saint Louis      | MO | 63105   | USA |
| Weber, Daniel John           | 2177 Rose Pointe                | Athens           | TX | 75752   | USA |
| Wechsler, Carol Ann          | 16 Colherne Mews                | London           |    | SW109EA | GBR |
| Weddle, James Donald         | 121 Plant Ave                   | Webster Groves   | MO | 63119   | USA |
| Weisenfelder, Steven Richard | 1740 Baxter Forest Valley Court | Chesterfield     | MO | 63005   | USA |
| Wenger, Kenneth Brian        | 195 Jarvis Bay Drive            | Jarvis Bay       | AB | T4S1R8  | CAN |
| Westphal, Thomas Jordan      | 12540 Clark Manor Cir           | St Louis         | MO | 63141   | USA |
| Whitman, Wendell Warren      | 604 Valencia Drive              | Boulder City     | NV | 89005   | USA |
| Wicks, Vickie V              | 2500 Tyler Street               | Lake Charles     | LA | 70605   | USA |
| Wiley, Mark Steven           | 5 Holly Circle                  | Magnolia         | AR | 71753   | USA |
| Wilkins, Mary Lindsey        | 14 Cedar Crest                  | Ladue            | MO | 63132   | USA |
| Williams III, Robert West    | 3339 Hwy FF                     | Eureka           | MO | 63025   | USA |
| Williams, Terrence Patrick   | 926 Oleander                    | Lake Jackson     | TX | 77566   | USA |
| Willingham, Thomas James     | 1237 Country Ridge Dr           | Richland         | WA | 99352   | USA |
| Wipf, Eugene Curtis          | 19734 York St                   | Elk River        | MN | 55330   | USA |
| Woodward, Price P            | 227 Oak Hollow Lane             | St Albans        | MO | 63073   | USA |
| Wortman, David Franklin      | 718 Fairway Drive               | Elizabethton     | TN | 37643   | USA |
| Wray Jr, Louis Earl          | 3050 Key Harbour                | Lake St Louis    | MO | 63367   | USA |
| Wright, Alan T               | 6212 Waterman                   | St Louis         | MO | 63130   | USA |
| Yoon, Thomas Jang Young      | 255 Lansbrooke Drive            | Chesterfield     | MO | 63005   | USA |
| Ytterberg, Bradley Arthur    | 1623 Mason Valley Rd            | Town and Country | MO | 63131   | USA |
| Zaun, Michael Eugene         | 214 St Georges Drive            | St Albans        | MO | 63073   | USA |

**B. INFORMATION ABOUT OFFERING**

1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? ..... ☐ Yes ☒ No  
Answer also in appendix, Column 2, if filing under ULOE.
2. What is the minimum investment that will be accepted from any individual?..... \$1,000.00  
Yes No
3. Does the offering permit joint ownership of a single unit? ..... ☐ Yes ☒ No
4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the names of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only.

Full Name (Last name first, if individual)

Business or Resident Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

☐ AL ☐ AK ☐ AZ ☐ AR ☐ CA ☐ CO ☐ CT ☐ DE ☐ DC ☐ FL ☐ GA ☐ HI ☐ ID  
☐ IL ☐ IN ☐ IA ☐ KS ☐ KY ☐ LA ☐ ME ☐ MD ☐ MA ☐ MI ☐ MN ☐ MS ☐ MO  
☐ MT ☐ NE ☐ NV ☐ NH ☐ NJ ☐ NM ☐ NY ☐ NC ☐ ND ☐ OH ☐ OK ☐ OR ☐ PA  
☐ RI ☐ SC ☐ SD ☐ TN ☐ TX ☐ UT ☐ VT ☐ VA ☐ WA ☐ WV ☐ WI ☐ WY ☐ PR

Full Name (Last name first, if individual)

Business or Resident Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

☐ AL ☐ AK ☐ AZ ☐ AR ☐ CA ☐ CO ☐ CT ☐ DE ☐ DC ☐ FL ☐ GA ☐ HI ☐ ID  
☐ IL ☐ IN ☐ IA ☐ KS ☐ KY ☐ LA ☐ ME ☐ MD ☐ MA ☐ MI ☐ MN ☐ MS ☐ MO  
☐ MT ☐ NE ☐ NV ☐ NH ☐ NJ ☐ NM ☐ NY ☐ NC ☐ ND ☐ OH ☐ OK ☐ OR ☐ PA  
☐ RI ☐ SC ☐ SD ☐ TN ☐ TX ☐ UT ☐ VT ☐ VA ☐ WA ☐ WV ☐ WI ☐ WY ☐ PR

Full Name (Last name first, if individual)

Business or Resident Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ..... ☐ All States

☐ AL ☐ AK ☐ AZ ☐ AR ☐ CA ☐ CO ☐ CT ☐ DE ☐ DC ☐ FL ☐ GA ☐ HI ☐ ID  
☐ IL ☐ IN ☐ IA ☐ KS ☐ KY ☐ LA ☐ ME ☐ MD ☐ MA ☐ MI ☐ MN ☐ MS ☐ MO  
☐ MT ☐ NE ☐ NV ☐ NH ☐ NJ ☐ NM ☐ NY ☐ NC ☐ ND ☐ OH ☐ OK ☐ OR ☐ PA  
☐ RI ☐ SC ☐ SD ☐ TN ☐ TX ☐ UT ☐ VT ☐ VA ☐ WA ☐ WV ☐ WI ☐ WY ☐ PR

# C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

1. Enter the aggregate offering price of securities included in this offering and the total amount already sold. Enter "0" if answer is "none" or "zero". If the transaction is an exchange offering, check this box ☐ and indicate in the columns below the amounts of the securities offered for exchange and already exchanged.

| Type of Security                                                         | Aggregate<br>Offering Price | Amount Already<br>Sold |
|--------------------------------------------------------------------------|-----------------------------|------------------------|
| Debt .....                                                               | \$ .....                    | \$ .....               |
| Equity .....                                                             | \$ .....                    | \$ .....               |
| <input type="checkbox"/> Common <input type="checkbox"/> Preferred       |                             |                        |
| Convertible Securities (including warrants) .....                        | \$ .....                    | \$ .....               |
| Partnership Interests (Subordinated Limited Partnership Interests) ..... | \$ 675,000.00               | \$ 675,000.00          |
| Other (Specify) .....                                                    | \$ .....                    | \$ .....               |
| Total .....                                                              | \$ 675,000.00               | \$ 675,000.00          |

Answer also in Appendix, Column 3, if filing under ULOE

2. Enter the number of accredited and non-accredited investors who have purchased securities in this offering and the aggregate dollar amounts of their purchases. For offerings under Rule 504, indicate the number of persons who have purchased securities and the aggregate dollar amount of their purchases on the total lines. Enter "0" if answer is "none" or "zero".

|                                               | Number<br>Investors | Aggregate<br>Dollar Amount<br>of Purchases |
|-----------------------------------------------|---------------------|--------------------------------------------|
| Accredited Investors .....                    | 3                   | \$ 675,000.00                              |
| Non-accredited Investors .....                | 0                   | \$ 0                                       |
| Total (for filings under Rule 504 only) ..... | N/A                 | \$ N/A                                     |

Answer also in Appendix, Column 4, if filing under ULOE.

3. If this filing is for an offering under Rule 504 or 505, enter the information requested for all securities sold by the issuer, to date, in offerings of the types indicated, in the twelve (12) months prior to the first sale of securities in this offering. Classify securities by type listed in Part C – Question 1.

| Type of offering   | Type of<br>Security | Dollar Amount<br>Sold |
|--------------------|---------------------|-----------------------|
| Rule 505 .....     | 0                   | \$ 0                  |
| Regulation A ..... | 0                   | \$ 0                  |
| Rule 504 .....     | 0                   | \$ 0                  |
| Total .....        | 0                   | \$ 0                  |

4. a. Furnish a statement of all expenses in connection with the issuance and distribution of the securities in this offering. Exclude amounts relating solely to organization expenses of the issuer. The information may be given to future contingencies. If the amount of an expenditure is not known, furnish an estimate and check the box to the left of the estimate.

|                                                             |                                     |             |
|-------------------------------------------------------------|-------------------------------------|-------------|
| Transfer Agent's Fees .....                                 | <input type="checkbox"/>            | \$ 0        |
| Printing and Engraving Costs .....                          | <input type="checkbox"/>            | \$ 0        |
| Legal Fees .....                                            | <input checked="" type="checkbox"/> | \$ 1,500.00 |
| Accounting Fees .....                                       | <input type="checkbox"/>            | \$ 0        |
| Engineering Fees .....                                      | <input type="checkbox"/>            | \$ 0        |
| Sales Commissions (specify finders' fees separately) .....  | <input type="checkbox"/>            | \$ 0        |
| Other Expenses (identify) <u>Blue Sky/Filing Fees</u> ..... | <input checked="" type="checkbox"/> | \$ 500.00   |
| Total .....                                                 | <input checked="" type="checkbox"/> | \$ 2,000.00 |

- b. Enter the difference between the aggregate offering price given in response to Part C – Question 1 and total expense furnished in response to Part C – Question 4.a. This difference is the "adjusted gross proceeds to the issuer."

\$ 673,000.00

**C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS**

5. Indicate below the amount of the adjusted gross proceeds to the issuer user or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C – question 4.b. above.

|                                                                                                                                                                                                      | Payments to<br>Officers, Directors,<br>and Affiliates | Payments to<br>Others                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|---------------------------------------------------|
| Salaries and fees .....                                                                                                                                                                              | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Purchase of real estate.....                                                                                                                                                                         | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Purchase, rental or leasing and installation of machinery and equipment.....                                                                                                                         | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Construction or leasing of plant building and facilities.....                                                                                                                                        | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Acquisition of other businesses (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger) ..... | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Repayment of indebtedness .....                                                                                                                                                                      | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Working capital .....                                                                                                                                                                                | <input type="checkbox"/> \$ 0                         | <input checked="" type="checkbox"/> \$ 673,000.00 |
| Other (specify): .....                                                                                                                                                                               | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| .....                                                                                                                                                                                                | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| .....                                                                                                                                                                                                | <input type="checkbox"/> \$ 0                         | <input type="checkbox"/> \$ 0                     |
| Column Totals .....                                                                                                                                                                                  | <input type="checkbox"/> \$ 0                         | <input checked="" type="checkbox"/> \$ 673,000.00 |
| Total Payments Listed (column totals added) .....                                                                                                                                                    |                                                       | <input checked="" type="checkbox"/> \$ 673,000.00 |

**D. FEDERAL SIGNATURE**

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

Issuer (Print or Type)

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

Signature



Date

July 2, 2006

Name of Signer (Print or Type)

**Cynthia A. Doria**

Title of Signer (Print or Type)

**Assistant General Counsel****Attention****Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)**