

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 82157 / November 27, 2017

ADMINISTRATIVE PROCEEDING
File No. 3-16751

In the Matter of	:	
	:	
Edward D. Jones & Co., L.P.	:	ORDER AUTHORIZING THE
	:	TRANSFER TO THE U.S. TREASURY
Respondent.	:	OF THE REMAINING FUNDS IN
	:	THE DISGORGEMENT FUND
	:	

On August 13, 2015, the United States Securities and Exchange Commission (“Commission”) issued an 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 (“Order”)¹ against Edward D. Jones & Co., L.P. (“Respondent”). The Order required, among other things, Respondent to pay \$5,194,401.37 in disgorgement and prejudgment interest (“Disgorgement Fund”) into a segregated cash account that the Respondent was to exclusively use for the purpose of making payments to current and former customers pursuant to a calculation specified in the Order.

Pursuant to the Order, Respondent disbursed \$4,507,985.12 to fully compensate 13,119 current and former clients. A residual amount of \$686,416.25 remains in the Disgorgement Fund, representing the balance of prejudgment interest that exceeded the amount needed to compensate injured investors and \$97,657.36 in uncashed checks and amounts owed to certain clients who could not be located.

The Order provides that Respondent is to provide a final accounting to the Commission staff for submission to the Commission for approval. Upon approval of the final accounting, all remaining amounts in the Disgorgement Fund are to be sent to the U.S. Treasury. Respondent’s final accounting is now approved. The staff has verified that all taxes, fees, and expenses have been paid, and the Commission is in possession of the remaining funds.

¹ Securities Act Rel. No. 9889 (Aug. 13, 2015).

Accordingly, it is ORDERED that the remaining funds in the Disgorgement Fund in the amount of \$686,416.25 shall be transferred to the U.S. Treasury.

By the Commission.

Brent J. Fields
Secretary