

RIIF MORE DATA AVAILABLE 04/11/23 13:41 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: TRCNT-AP FSD APPROVAL TO USE TRUSTED CONTACT Amount:
Rvw Item Cre: 01/23/23 08:04:22 KRUEGEREL Status: NO ACTION TAKEN
Incident Cre: 01/23/23 08:04:22 KRUEGEREL Rev: 01/23/23 08:04:26 KRUEGEREL

Revised since creation of the review item: Text.

FSD Name: Wallace, Kim
Contact Method: Trusted Contact
Client Contact Date: 1/20/2023
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Behrens
Copy Notify Wire(MMDDYY/9999999):
Send Std Msg: Add Text: Response Required:
Notes: acknowledged

TRCNT-AP Incidents: 1
Total Incidents: 21

Complete(Y/N): Y Completed By: KGAINES Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF END OF DATA 04/11/23 13:41 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: TRCNT-AP FSD APPROVAL TO USE TRUSTED CONTACT Amount:
Rvw Item Cre: 01/23/23 08:04:22 KRUEGEREL Status: NO ACTION TAKEN
Incident Cre: 01/23/23 08:04:22 KRUEGEREL Rev: 01/23/23 08:04:26 KRUEGEREL
FA Number: 447177

[What data did this occur on?](#)

CLIENT CONTACT DETAILS

Spoke with BOA to give approval for her to contact TC Teresa Kuhn, daughter to request her to provide the conservator document to enable the designated conservator to be added to account for authorization for funds requested to pay bills. Approval granted.

Copy Notify Wire(MMDDYY/9999999): TRCNT-AP Incidents: 1
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: acknowledged

Complete(Y/N): Y Completed By: KGAINES Assign to:
F1-Help F3-Escape F4-Menu F7-Rev
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:41 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: ELDR-APS ESCALATION TO APS INVOLVING SENIORS Amount:
Rvw Item Cre: 10/19/22 17:01:41 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 10/19/22 17:01:41 ROSENBERLR Rev: 10/19/22 17:01:48 ROSENBERLR

Revised since creation of the review item: Text.

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 10/19/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

Copy Notify Wire(MMDDYY/9999999):

Send Std Msg: Add Text: Response Required: ELDR-APS Incidents: 2
Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:41 (M2094)

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Rvw Item Cre: 10/19/22 17:01:41 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 10/19/22 17:01:41 ROSENBERLR Rev: 10/19/22 17:01:48 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Amanda Fultz from Kansas APS called with an update regarding the report we filed. She mentioned there was a hearing today and a conservator was appointed. She said a court order will be issued and sent to Edward Jones in the coming days. I told her once that is received, we will allow our legal team to review a

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Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
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END OF DATA

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nd process the paperwork according to the order. Neither of us had questions a
t which point the call was concluded.

Copy Notify Wire(MMDDYY/9999999): ELDR-APS Incidents: 2
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:42 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 10/19/22 16:52:41 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 10/19/22 16:52:41 ROSENBERLR Rev: 10/19/22 16:52:49 ROSENBERLR
Revised since creation of the review item: Text.

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 10/19/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

Copy Notify Wire(MMDDYY/9999999):

Send Std Msg: Add Text: Response Required: CLNTCONT Incidents: 8
Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

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IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 10/19/22 16:52:41 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 10/19/22 16:52:41 ROSENBERLR Rev: 10/19/22 16:52:49 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Terri Kuhn called with information about the hearing this morning for her father, Tom Price. She said she was appointed Guardian and a third party was appointed Conservator for Mr. Price and we will likely receive a Court Order in the coming days or weeks which also specifies the account is to be moved out of E

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Notes: reviewed

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Rvw Item Cre: 10/19/22 16:52:41 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 10/19/22 16:52:41 ROSENBERLR Rev: 10/19/22 16:52:49 ROSENBERLR
Edward Jones to Creative Planning. I thanked Mrs. Kuhn for the information and
told her I would reach out if I had anything I would be able to share.

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Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev
F10-Incident List

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IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT Amount:

Rvw Item Cre: 09/27/22 14:30:58 ROSENBERLR Status: NO ACTION TAKEN

Incident Cre: 09/27/22 14:30:58 ROSENBERLR Rev: 09/27/22 14:31:05 ROSENBERLR

Revised since creation of the review item: Text.

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 9/27/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8

Send Std Msg: Add Text: Response Required: Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:

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F10-Incident List

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IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/27/22 14:30:58 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/27/22 14:30:58 ROSENBERLR Rev: 09/27/22 14:31:05 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Legal asked that we reach out to the Trusted Contact, Terry Kuhn, to confirm whether or not we are able to send her copy of the 2165 letter to Michelle Buge, the attorney she hired to file for Guardianship. She confirmed she was ok with this. I also made her aware her letter is still on the way; however, the t

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IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/27/22 14:30:58 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/27/22 14:30:58 ROSENBERLR Rev: 09/27/22 14:31:05 ROSENBERLR
racking information indicated it was delayed. She did not have any additional
questions at which point the call was concluded.

Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
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F10-Incident List

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IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/23/22 19:10:58 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/23/22 19:10:58 ROSENBERLR Rev: 09/23/22 19:11:08 ROSENBERLR

Revised since creation of the review item: Text.

FSD Name: Cox, Dan
Contact Method: Verbal
Client Contact Date: 9/23/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
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IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/23/22 19:10:58 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/23/22 19:10:58 ROSENBERLR Rev: 09/23/22 19:11:08 ROSENBERLR
FA Number: 447177

She had not received the letter, there is no mention that Tom Price receiving the letter as well, like they have cc'ed.

CLIENT CONTACT DETAILS

Brooke conferenced me in on a call with Terry (TC) for Tom Price. We discussed the restriction that was placed on the account, next steps and requested her address as one was not on file for us to send the 2165 letter to. I ran through the information she will receive in the letter regarding a restriction being

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Type: CLNTCONT PHONE CALL TO CLIENT Amount:

→ Rvw Item Cre: 09/23/22 19:10:58 ROSENBERLR Status: NO ACTION TAKEN
→ Incident Cre: 09/23/22 19:10:58 ROSENBERLR Rev: 09/23/22 19:11:08 ROSENBERLR
placed on the account and the rejection of a \$3.5mil transfer. I gave her a rough timeline of how long we are able to keep the account restricted as well. We asked her to keep in touch if she has any significant updates and we will do so as well as long as we are not breaching the client's confidentiality.

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Notes: reviewed

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F10-Incident List

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IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/22/22 18:36:59 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/22/22 18:36:59 ROSENBERLR Rev: 09/22/22 18:37:14 ROSENBERLR

Revised since creation of the review item: Text.

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 9/22/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

Copy Notify Wire(MMDDYY/9999999):

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Notes: reviewed

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Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/22/22 18:36:59 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/22/22 18:36:59 ROSENBERLR Rev: 09/22/22 18:37:14 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Brooke received a call from Mr. Price stating she had vague liquidation instructions. I requested to speak with Mr. Price and the FA alone. Mr. Price demanded Jeff to be on the call. I informed him that we told Jeff in the past that due to his behavior and comments to the branch, he is not welcome to speak to E Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
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IR Incident Item Detail

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 Type: CLNTCONT PHONE CALL TO CLIENT Amount:
 Rvw Item Cre: 09/22/22 18:36:59 ROSENBERLR Status: NO ACTION TAKEN
 Incident Cre: 09/22/22 18:36:59 ROSENBERLR Rev: 09/22/22 18:37:14 ROSENBERLR
 dward Jones. We continued with the call and asked about his request he made to
 the branch. He replied 'I want to know where my money is.' I informed him tha
 t we have a reasonable suspicion that he is being exploited and we will not be
 completing the transfer of \$3.5mil to his son, Jeff. He was also made aware o
 f the restriction being added to his account. Mr. Price went on to say he didn
 't request a \$3.5mil transfer. Brooke stated he made the request on August 23
 and I mentioned he did in our initial conversation in late August. Mr. Price s
 Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
 Send Std Msg: Add Text: Response Required: Total Incidents: 21
 Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
 F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
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RIIF END OF DATA 04/11/23 13:42 (M2094)

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IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/22/22 18:36:59 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/22/22 18:36:59 ROSENBERLR Rev: 09/22/22 18:37:14 ROSENBERLR
aid 'this conversation is over' and hung up.

Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:43 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 09/14/22 14:49:39 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/14/22 14:49:39 ROSENBERLR Rev: 09/14/22 14:50:18 ROSENBERLR
Revised since creation of the review item: Text.

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 9/14/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

Copy Notify Wire(MMDDYY/9999999):

Send Std Msg: Add Text: Response Required: CLNTCONT Incidents: 8
Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:43 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:

Rvw Item Cre: 09/14/22 14:49:39 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/14/22 14:49:39 ROSENBERLR Rev: 09/14/22 14:50:18 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Jeff (son) requested an appointment with his father (client) next Friday and mentioned he would be having representation with him. After the branch asked about who would be on the call, he said an Estate attorney and another attorney would be on the call to make sure his Elder Rights were not being violated. The

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Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:43 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

→ Rvw Item Cre: 09/14/22 14:49:39 ROSENBERLR

Status: NO ACTION TAKEN

→ Incident Cre: 09/14/22 14:49:39 ROSENBERLR

Rev: 09/14/22 14:50:18 ROSENBERLR

e purpose of the call was to let Jeff know of the options he has to have his attorneys have their questions answered, reinforce the need for a letter of capacity or incapacitation and let him know that based on his comments and guidance from our Legal team, we will only work with Tom going forward assuming a letter is received stating Tom is capable of handling his own financial affairs. I reintroduced myself on the call and confirmed Jeff wanted an appointment next Friday with some attorneys. I informed him that we received guidance from our

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Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 09/14/22 14:49:39 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 09/14/22 14:49:39 ROSENBERLR

Rev: 09/14/22 14:50:18 ROSENBERLR

r attorneys that our Financial Advisors and associates are not approved to have meetings with attorneys who are representing them. I told him that if his attorneys have questions, we are happy to take their information and have an attorney call (which he declined) or they can submit questions in writing which will be forwarded to our Legal Team for review. Jeff also asked about the letter of incapacitation. We reviewed what is required in the letter and demanded we send it in writing. The FA asked Jeff if he wrote it down when they spoke earlier.

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CLNTCONT Incidents: 8

Send Std Msg:

Add Text:

Response Required:

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:

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Incident Cre: 09/14/22 14:49:39 ROSENBERLR

Rev: 09/14/22 14:50:18 ROSENBERLR

lier and he said he did. I told him that we would not be sending it to him in writing and a verbal was enough to satisfy the obligation and if the doctor has questions about what is needed, we are happy to speak with him or her. I repeated the information about needing a letter from an MD (not NP), on letterhead, with the doctor's signature and date that stated whether or not Tom was capable of handling his financial matters. He said he was going to send an email and told us to reply. I told him that the branch has been instructed to pick u

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Incident Cre: 09/14/22 14:49:39 ROSENBERLR Rev: 09/14/22 14:50:18 ROSENBERLR
p the phone and call Tom regarding this matter if we receive any emails. Addit
ionally, I informed Jeff that he needs to stop contacting the branch as he is
not authorized on the account as he continues to press for information related
to the 'anonymous tip' we received. Jeff was informed that those conversation
s are inappropriate and if Tom has questions, we are happy to speak with him o
ne on one. At that point Jeff hung up.

Copy Notify Wire(MMDDYY/9999999):

Send Std Msg:

Add Text:

Response Required:

CLNTCONT Incidents: 8

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:43 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: ELDR-APS ESCALATION TO APS INVOLVING SENIORS Amount:
Rvw Item Cre: 09/14/22 10:55:21 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 09/14/22 10:55:21 ROSENBERLR Rev: 09/14/22 10:55:22 ROSENBERLR
Revised since creation of the review item: Text.

FSD Name: Cox, Dan
Contact Method: Verbal
Client Contact Date: 9/14/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
Copy Notify Wire (MMDDYY/9999999):
Send Std Msg: Add Text:
Notes: reviewed

Response Required: ELDR-APS Incidents: 2
Total Incidents: 21

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:45 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 08/26/22 13:51:10 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 08/26/22 13:51:10 ROSENBERLR Rev: 08/26/22 13:51:21 ROSENBERLR
Revised since creation of the review item: Text.

FSD Name: Cox, Dan
Contact Method: Verbal
Client Contact Date: 8/26/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:45 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 08/26/22 13:51:10 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 08/26/22 13:51:10 ROSENBERLR Rev: 08/26/22 13:51:21 ROSENBERLR
FA Number: 447177

CLIENT CONTACT DETAILS

Teresa, the Trusted Contact, left a message for Brooke (FA) to call her back. FA asked me to be on the call. Teresa had questions related to how long the restriction will remain on the account and I told her that we don't have anyone else to go to at this point, so it will remain restricted until we receive a d

Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
Send Std Msg: Add Text: Response Required: Total Incidents: 21
Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

END OF DATA

04/11/23 13:45 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 08/26/22 13:51:10 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 08/26/22 13:51:10 ROSENBERLR

Rev: 08/26/22 13:51:21 ROSENBERLR

Doctor's note. She said she was able to locate a POA and we reviewed the process of having it added to the account. I told her that since we are requesting a letter from a doctor, we will likely need that as well so she can hold of on submitting that until she has the letter. Teresa did not have any additional questions at which point the call was concluded.

Copy Notify Wire(MMDDYY/9999999):

CLNTCONT Incidents: 8

Send Std Msg:

Add Text:

Response Required:

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y

Completed By: MEISENBATH

Assign to:

F1-Help F3-Escape F4-Menu F7-Rev

F10-Incident List

RIIF MORE DATA AVAILABLE 04/11/23 13:48 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
Type: CLNTCONT PHONE CALL TO CLIENT Amount:
Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR Status: NO ACTION TAKEN
Incident Cre: 08/25/22 18:08:23 ROSENBERLR Rev: 08/25/22 18:09:07 ROSENBERLR
Revised since creation of the review item: Text.

FSD Name: Cox, Dan
Contact Method: Verbal
Client Contact Date: 8/25/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
Copy Notify Wire(MMDDYY/9999999):
Send Std Msg: Add Text: Response Required: CLNTCONT Incidents: 8
Notes: reviewed Total Incidents: 21

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F8-Fwd
F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:48 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 08/25/22 18:08:23 ROSENBERLR

Rev: 08/25/22 18:09:07 ROSENBERLR

FA Number: 447177

CLIENT CONTACT DETAILS

Mr. Price discussed gifting \$3.5mil to his son, Jeff. The FA said that Jeff appears to be driving the activity. Brooke (FA), also spoke to the CPA who let us know that he cannot recommend for or against this, but said the will likely pay around \$470k in taxes if they wish to proceed with the gift. We were also

Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8

Send Std Msg: Add Text: Response Required: Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:

F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:48 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS Branch: 9253 Account: 92525200
 Type: CLNTCONT PHONE CALL TO CLIENT Amount:
 Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR Status: NO ACTION TAKEN
 Incident Cre: 08/25/22 18:08:23 ROSENBERLR Rev: 08/25/22 18:09:07 ROSENBERLR
 made aware of some capacity concerns from Mr. Price's daughter, Teresa, who me
 ntioned she is meeting with a doctor to assess capacity. I requested to be on
 the call to discuss the transaction. Brooke (FA), Mr. Price and his son Jeff w
 ere all on the call with me. After introductions, I asked Mr. Price why he is l
 ooking to gift \$3.5mil now instead of waiting for this to flow through the ben
 eficiaries after his passing. He said he wants to make sure his kids get an eq
 ual split of the money in case something happens to him tomorrow. Brooke indic
 Copy Notify Wire(MMDDYY/9999999): CLNTCONT Incidents: 8
 Send Std Msg: Add Text: Response Required: Total Incidents: 21
 Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
 F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
 F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:48 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 08/25/22 18:08:23 ROSENBERLR

Rev: 08/25/22 18:09:07 ROSENBERLR

ated in a previous conversation that Mr. Price and his two kids agreed to make the account more conservative due to market concerns; however, Teresa wanted to do 10% at a time and Jeff wanted to do it all right now. I discussed the potential to have two identical accounts with each kid being 100% beneficiary on each and Jeff said 'that will not work for us.' I asked why and he repeated that it 'just wouldn't work.' He said it wouldn't work 'for reasons I don't want to tell you.' I then asked Mr. Price if he was aware of any doctor appointments

Copy Notify Wire(MMDDYY/9999999):

CLNTCONT Incidents: 8

Send Std Msg:

Add Text:

Response Required:

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:48 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

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Status: NO ACTION TAKEN

Incident Cre: 08/25/22 18:08:23 ROSENBERLR

Rev: 08/25/22 18:09:07 ROSENBERLR

ts coming up and he said no. I told him that is sounded like he had some to po
tentially assess his capacity and he said he didn't know anything about it. I
told him we were informed that there is a doctor appointment coming up and it
sounds like there would be a CT scan. Jeff asked who told us that and I told h
im that we received this information from a third party. He demanded we tell h
is dad who it was as he has a right to know. I informed him that 'any conversa
tions that occur are confidential just like the conversation we are currently

Copy Notify Wire(MMDDYY/9999999):

CLNTCONT Incidents: 8

Send Std Msg:

Add Text:

Response Required:

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

MORE DATA AVAILABLE

04/11/23 13:49 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 08/25/22 18:08:23 ROSENBERLR

Rev: 08/25/22 18:09:07 ROSENBERLR

having.' Jeff said we shouldn't take someone's word about another person's capacity and I told him we are not, we are deferring that assessment to a doctor and will required a letter from a doctor to determine how we should appropriate handle the account going forward. Jeff asked what the next steps are and I told him that we will need a letter of capacity from a doctor and follow through with the meeting with their lawyer since the CPA deferred to him/her for a recommendation for gifting. I also told Jeff that we will also have a one on one

Copy Notify Wire (MMDDYY/9999999):

CLNTCONT Incidents: 8

Send Std Msg:

Add Text:

Response Required:

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:
F1-Help F3-Escape F4-Menu F7-Rev F8-Fwd
F10-Incident List

RIIF

END OF DATA

04/11/23 13:49 (M2094)

IR Incident Item Detail

IR: 447177 BROOKE DONLEY BEHRENS

Branch: 9253 Account: 92525200

Type: CLNTCONT PHONE CALL TO CLIENT

Amount:

Rvw Item Cre: 08/25/22 18:08:23 ROSENBERLR

Status: NO ACTION TAKEN

Incident Cre: 08/25/22 18:08:23 ROSENBERLR

Rev: 08/25/22 18:09:07 ROSENBERLR

conversation with Mr. Price before doing anything to ensure this is what he wants to do and he is fully advised of the consequences. Neither Jeff nor Mr. Price had questions at which point the call was concluded.

Copy Notify Wire(MMDDYY/9999999):

Send Std Msg:

Add Text:

Response Required:

CLNTCONT Incidents: 8

Total Incidents: 21

Notes: reviewed

Complete(Y/N): Y Completed By: MEISENBATH Assign to:

F1-Help F3-Escape F4-Menu F7-Rev

F10-Incident List

RIII

MORE DATA AVAILABLE

04/11/23 13:49 (M2093)

IR Incident Item

IR: 447177 BROOKE DONLEY BEHRENS

Item Type: CLNTCONT PHONE CALL TO CLIENT

Added: 08/25/22 18:05:45 Revised: 08/25/22 18:06:07

Sent To FS: 08/25/22 18:05:45

ROSENBERLR ROSENBERLR

ROSENBERLR

Incident Account: 92525200 PRICE, TOM & HELEN (1/S)

Incident Branch: 9253 OLATHE, KS Incident Amount:

Incident Text

FSD Name: Cox, Dan

Contact Method: Verbal

Client Contact Date: 8/25/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

FA Number: 447177

CLIENT CONTACT DETAILS

F1-Help F3-Escape F4-Menu F5-New Item F8-Forward
F9-View Item Types F12-Revw Item

RIII

MORE DATA AVAILABLE

04/11/23 13:49 (M2093)

IR Incident Item

IR: 447177 BROOKE DONLEY BEHRENS

Item Type: CLNTCONT PHONE CALL TO CLIENT

— Added: 08/25/22

Revised: 08/25/22

Sent To FS: 08/25/22

18:05:45

18:06:07

18:05:45

ROSENBERLR

ROSENBERLR

ROSENBERLR

Incident Account: 92525200 PRICE, TOM & HELEN (1/S)

Incident Branch: 9253 OLATHE, KS Incident Amount:

Incident Text

CLIENT CONTACT DETAILS

I requested to be on the call when the FA reached out to the Trusted Contact. Mr. Price is asking to gift \$3.5mil to his son, Jeff. The FA spoke to the CPA with the client's permission who informed us that he would not recommend again st or for this sort of activity, but the tax burden will likely be in the \$400 k range. We were also made aware that Teresa will be taking Tom to the doctor in a couple weeks. After introductions, I informed Teresa of the conversations we had with Mr. Price and there were some gifting requests of significant value that caused concern. I asked if she was aware of this and she said they have

F1-Help F3-Escape F4-Menu F5-New Item F7-Reverse F8-Forward
F9-View Item Types F12-Revw Item

RIII

MORE DATA AVAILABLE

04/11/23 13:49 (M2093)

IR Incident Item

IR: 447177 BROOKE DONLEY BEHRENS

Item Type: CLNTCONT PHONE CALL TO CLIENT

Added: 08/25/22 18:05:45 Revised: 08/25/22 18:06:07 Sent To FS: 08/25/22 18:05:45

ROSENBERLR ROSENBERLR ROSENBERLR

Incident Account: 92525200 PRICE, TOM & HELEN (1/S)

Incident Branch: 9253 OLATHE, KS Incident Amount:

Incident Text

e that caused concern. I asked if she was aware of this and she said they have been working to make the account more conservative but wasn't aware of gifts. I mentioned Jeff told us she was a POA and she said 'no, nobody is POA for Tom.' I told her we were also made aware of the doctor appointments and asked if it had anything to do with Mr. Price's capacity since that may alter the way we manage the account. She said she was looking to have him assessed by a doctor for potential incapacitation. Teresa also said he will have an MRI and some other scans done for his health. I thanked her for the time and assured her that we will work to protect her father as best as we can. I told her we may reac

F1-Help F3-Escape F4-Menu F5-New Item F7-Reverse F8-Forward
F9-View Item Types F12-Revw Item

RIII

END OF DATA

04/11/23 13:49 (M2093)

IR Incident Item

IR: 447177 BROOKE DONLEY BEHRENS

Item Type: CLNTCONT PHONE CALL TO CLIENT

Added: 08/25/22

Revised: 08/25/22

Sent To FS: 08/25/22

18:05:45

18:06:07

18:05:45

ROSENBERLR

ROSENBERLR

ROSENBERLR

Incident Account: 92525200 PRICE, TOM & HELEN (1/S)

Incident Branch: 9253 OLATHE, KS

Incident Amount:

Incident Text

t we will work to protect her father as best as we can. I told her we may reach out in the future if any additional concerns come about and she agreed to call us with any updates.

F1-Help F3-Escape F4-Menu F5-New Item F7-Reverse
F9-View Item Types F12-Revw Item

**Note Log for
File: Price, Tom
Open File Number: 2022-09-22-7784**

Note Date: 01/30/2023

Category: Note

Note: This account was restricted by Dan Cox and is out of the 2165 restriction time frame. We are closing this case due to the account is now restricted by Legal Service and they are working with the family of the client's attorney and have received court orders on who can act on the account. I was also told today that they will be in court again next moth with a final decision.

Closing Case.

Note Date: 09/22/2022

Category: File Facts

Note: 92525200, 92588167, 92590560 & 92696230 - Tom Price

Client requested \$3.5 million to be transferred to his son, Thomas Price III (goes by Jeff). According to the CPA, the client would incur a \$470,000 tax bill assuming the accounts were split down the middle according to beneficiaries. Mr. Price stated his reason for wanting to do so is because if anything happens to him, he wants to make sure Jeff gets the money. We informed Mr. Price the beneficiaries are set to receive 50% in his accounts and he would not be liable for the taxes and would also receive a stepped up cost basis if he waited until his passing. We also received a tip that Mr. Price may not be of sound mind and I shared the same concerns after speaking with him on the call and requested a letter from a doctor.

Jeff Price did the majority of the speaking and when asking Tom a question, Jeff would answer for him. Jeff would not allow Tom to speak to Edward Jones individually to ensure this is truly what he wanted. We received a letter from a doctor that stated Mr. Price can direct family members to handle financial affairs, but it did not state he could handle them on his own.

The \$3.5mil transfer was rejected and Josephine Sangiorgio-Hirth agreed with the 2165 restriction.

10/27/22 - extending to full 55 days. Awaiting Court Order.

Note Date: 09/26/2022

Category: File Document

Note: FROM: Pfeffer,Anne
DATE: Friday 09/23/2022 03:42 PM
TO: Cox,Dan
CC: Chumbley,Gayla D; Moore,Kamikka D; ReceivingManchester
SUBJECT: Certified Mailings

=====
Dan,

Attached is confirmation/tracking of your certified mailings. These will go out today! Please let us know if you have any questions or concerns.

Thanks!

Anne Pfeffer

Mail Operations Specialist | Edward Jones

12555 Manchester Des Peres, MO 63131

*314-515-9086 *Anne.Pfeffer@EdwardJones.com

Note Date: 10/03/2022

Category: File Document

Note: FROM: Strohmeyer,Kathy
DATE: Monday 10/03/2022 11:06 AM
TO: Cox,Dan
CC: Betlach,Chris
SUBJECT: r11335414.pdf

=====
Hi Dan,

This certified letter was returned and you the one that sent this out.

Thanks,

Kathy

Note Date: 09/27/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Tuesday 09/27/2022 02:13 PM
TO: Schneider,Megan
CC: Cox,Dan
SUBJECT: Please Fax

=====
Good afternoon,

Please fax the attached letter to 816.753.0901 (attn: Michelle Burge) ASAP with a cover sheet. I obtained approval from Terry earlier and the attorney is expecting this.

Thank you,

Dan Cox

Field Supervision ? Senior Client Protection

(314) 515-1989 or Ext. 5-1989

Note Date: 09/28/2022

Category: File Document

Note: FROM: Brooke.Donley.Behrens@edwardjones.com
DATE: Wednesday 09/28/2022 09:01 AM
TO: Cox,Dan
SUBJECT: Accountant requesting info for Tom Price FW: URGENT! New message from your website
=====

Hi Dan,

How should we proceed regarding this?

Thanks!

-Brooke

From: Edward Jones <public-websites@acquia.edwardjones.com>
Sent: Tuesday, September 27, 2022 6:43 PM
To: Newcomb,Karen <Karen.Newcomb@edwardjones.com>; Schneider,Megan <Megan.Schneider@edwardjones.com>; Donley Behrens,Brooke <Brooke.Donley.Behrens@edwardjones.com>
Subject: URGENT! New message from your website

Hello,

John Martin used your Edward Jones Branch Website to contact you. Please contact them as soon as possible to understand if there is mutual interest in working together.

What To Do Next:

1. Log John Martin as a Prospect in the Edward Jones system, select "Website Contact" as the Sourcing Strategy, select "Yes" for "Received permission to call?", and select "Express Written Consent" for the Permission type.
2. For prospects located in CA or NJ, you must print this email and scan it into the Online Filing Cabinet file titled "Prospect: Do Not Call - Permission to Call form." After scanning, verify and then shred the original document.
3. If interested in contacting John Martin, please do so within two business days.

Name: John Martin
Did John Martin give you permission to contact? Yes
Contact Information:
Email address: johnmartin@higdonhale.com <mailto:johnmartin@higdonhale.com>
Phone Number: (913) 831-7000
Investable Assets: N/A
Best time to respond: Morning

Message: Brooke - John Martin with Higdon and Hale - I am working on Mr. Prices tax return and Jeff suggested I reach out to you to get the 1099 for his father for 2021? Could assist with that? I realize you will need to confirm with Mr. Price as well.

Thank you

John

*Please do not reply to this email address, the inbox is not monitored.

Note Date: 09/28/2022

Category: File Document

Note: FROM: Saved by Legal Files Outlook Add-In

DATE: Wednesday 09/28/2022 09:14 AM

TO: Donley Behrens, Brooke

SUBJECT: RE: Accountant requesting info for Tom Price FW: URGENT! New message from your website

=====

Hi Brooke,

We would require a Consent & Release form from the client that it is ok to speak to the CPA; however, there are still concerns about the client's capacity and we cannot take instructions from him until we get clarification on the letter that was received (unfortunately, I don't have an ETA for that). Given this is a tax statement and not instructions to withdrawal or place a trade, I am comfortable with you sending a copy to Mr. Price's address for them to provide it to whomever they wish.

Thank you,

Dan Cox

Field Supervision ? Senior Client Protection

(314) 515-1989 or Ext. 5-1989

From: Donley Behrens, Brooke <Brooke.Donley.Behrens@edwardjones.com>

Sent: Wednesday, September 28, 2022 9:01 AM

To: Cox, Dan <Dan.Cox@edwardjones.com>

Subject: Accountant requesting info for Tom Price FW: URGENT! New message from your website

Hi Dan,

How should we proceed regarding this?

Thanks!

-Brooke

From: Edward Jones <public-websites@acquia.edwardjones.com <mailto:public-websites@acquia.edwardjones.com> >

Sent: Tuesday, September 27, 2022 6:43 PM

To: Newcomb, Karen <Karen.Newcomb@edwardjones.com <mailto:Karen.Newcomb@edwardjones.com> >; Schneider, Megan <Megan.Schneider@edwardjones.com <mailto:Megan.Schneider@edwardjones.com> >; Donley Behrens, Brooke <Brooke.Donley.Behrens@edwardjones.com <mailto:Brooke.Donley.Behrens@edwardjones.com> >

Subject: URGENT! New message from your website

Hello,

John Martin used your Edward Jones Branch Website to contact you. Please contact them as soon as possible to understand if

there is mutual interest in working together.

What To Do Next:

1. Log John Martin as a Prospect in the Edward Jones system, select "Website Contact" as the Sourcing Strategy, select "Yes" for "Received permission to call?", and select "Express Written Consent" for the Permission type.
2. For prospects located in CA or NJ, you must print this email and scan it into the Online Filing Cabinet file titled "Prospect: Do Not Call - Permission to Call form." After scanning, verify and then shred the original document.
3. If interested in contacting John Martin, please do so within two business days.

Name: John Martin

Did John Martin give you permission to contact? Yes

Contact Information:

Email address: johnmartin@higdonhale.com <mailto:johnmartin@higdonhale.com>

Phone Number: (913) 831-7000

Investable Assets: N/A

Best time to respond: Morning

Message: Brooke - John Martin with Higdon and Hale - I am working on Mr. Prices tax return and Jeff suggested I reach out to you to get the 1099 for his father for 2021? Could assist with that? I realize you will need to confirm with Mr. Price as well.

Thank you

John

*Please do not reply to this email address, the inbox is not monitored.

Note Date: 10/19/2022

Category: File Document

Note: FROM: Cox,Dan

DATE: Wednesday 10/19/2022 11:44 AM

TO: Rosenberg,Lori R

CC: Cox,Dan; Betlach,Chris

SUBJECT: Client Contact Sheet for IRIN - ELDR-APS

=====

Client Contact Sheet for IRIN - ELDR-APS

CLIENT CONTACT INFORMATION

FSD Name: Cox,Dan

Contact Method: Verbal

Client Contact Date: 10/19/2022

Client Name: Tom Price

Client Account Number: 92525200

FA Name: Brooke Donley Behrens

FA Number: 447177

CLIENT CONTACT DETAILS

Amanda Fultz from Kansas APS called with an update regarding the report we filed. She mentioned there was a hearing today and a conservator was appointed. She said a court order will be issued and sent to Edward Jones in the coming days. I told her once that is received, we will allow our legal team to review and process the paperwork according to the order. Neither of us had questions at which point the call was concluded.

Note Date: 09/23/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Friday 09/23/2022 10:38 AM
TO: Rosenberg,Lori R
CC: Cox,Dan; Betlach,Chris
SUBJECT: Client Contact Sheet for IRIN - CLNTCONT - TC

=====
Client Contact Sheet for IRIN - CLNTCONT

CLIENT CONTACT INFORMATION

FSD Name: Cox,Dan
Contact Method: Verbal
Client Contact Date: 9/23/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
FA Number: 447177

CLIENT CONTACT DETAILS

Brooke conferenced me in on a call with Terry (TC) for Tom Price. We discussed the restriction that was placed on the account, next steps and requested her address as one was not on file for us to send the 2165 letter to. I ran through the information she will receive in the letter regarding a restriction being placed on the account and the rejection of a \$3.5mil transfer. I gave her a rough timeline of how long we are able to keep the account restricted as well. We asked her to keep in touch if she has any significant updates and we will do so as well as long as we are not breaching the client's confidentiality.

Note Date: 10/19/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Wednesday 10/19/2022 02:39 PM
TO: Rosenberg,Lori R
CC: Cox,Dan; Betlach,Chris
SUBJECT: Client Contact Sheet for IRIN - CLNTCONT

=====
Client Contact Sheet for IRIN - CLNTCONT

CLIENT CONTACT INFORMATION

FSD Name: Cox,Dan
Contact Method: Verbal
Client Contact Date: 10/19/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
FA Number: 447177

CLIENT CONTACT DETAILS

Terri Kuhn called with information about the hearing this morning for her father, Tom Price. She said she was appointed Guardian and a third party was appointed Conservator for Mr. Price and we will likely receive a Court Order in the coming days or weeks which also specifies the account is to be moved out of Edward Jones to Creative Planning. I thanked Mrs. Kuhn for the information and told her I would reach out if I had anything I would be able to share.

Note Date: 09/22/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Thursday 09/22/2022 02:15 PM
TO: Rosenberg,Lori R
CC: Cox,Dan; Betlach,Chris
SUBJECT: Client Contact Sheet for IRIN - CLNTCONT

=====
Client Contact Sheet for IRIN - CLNTCONT

CLIENT CONTACT INFORMATION

FSD Name: Cox,Dan
Contact Method: Verbal
Client Contact Date: 9/22/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
FA Number: 447177

CLIENT CONTACT DETAILS

Brooke received a call from Mr. Price stating she had vague liquidation instructions. I requested to speak with Mr. Price and the FA alone. Mr. Price demanded Jeff to be on the call. I informed him that we told Jeff in the past that due to his behavior and comments to the branch, he is not welcome to speak to Edward Jones. We continued with the call and asked about his request he made to the branch. He replied 'I want to know where my money is.' I informed him that we have a reasonable suspicion that he is being exploited and we will not be completing the transfer of \$3.5mil to his son, Jeff. He was also made aware of the restriction being added to his account. Mr. Price went on to say he didn't request a \$3.5mil transfer. Brooke stated he made the request on August 23 and I mentioned he did in our initial conversation in late August. Mr. Price said 'this conversation is over' and hung up.

Note Date: 09/22/2022

Category: File Document

Note: FROM: Brunner,Christopher
DATE: Thursday 09/22/2022 01:31 PM
TO: Cox,Dan; FRPInvestigations
CC: Walter,Kate; Esbeck,Alison L; Sangiorgio-Hirth,Josephine; Betlach,Chris
SUBJECT: RE: 2165 Restriction Added

=====
I'll open a case and document this.

Thanks,

Christopher Brunner

EdwardJones? | Financial Risk Prevention

Fraud Investigations | Investigative Specialist II

12555 Manchester Rd | St. Louis, Missouri 63131

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christopher.brunner@edwardjones.com <mailto:christopher.brunner@edwardjones.com>

IMPORTANT - SAR CONFIDENTIALITY NOTICE

The above communication, and any attachments, may include Suspicious Activity Reports (SAR), SAR language, draft SARs or language, information indicating the existence of a SAR, or correspondence relating to the decision of whether or not a SAR is filed with federal authorities (FinCEN). Any unauthorized disclosure of this information is a violation of firm policy and, potentially, federal law. Violations of federal law may result in civil or criminal penalties.

From: Cox,Dan <Dan.Cox@edwardjones.com>

Sent: Thursday, September 22, 2022 1:26 PM

To: FRPInvestigations <FRPInvestigations@edwardjones.com>

Cc: Walter,Kate <Kate.Walter@edwardjones.com>; Esbeck,Alison L <Alison.Esbeck@edwardjones.com>; Sangiorgio-Hirth,Josephine <Josephine.Sangiorgio-Hirth@edwardjones.com>; Betlach,Chris <chris.betlach@edwardjones.com>

Subject: RE: 2165 Restriction Added

Account numbers 92525200, 92588167, 92590560 & 92696230 ? Tom Price

Dan

5-1989

From: Cox, Dan <Dan.Cox@edwardjones.com <mailto:Dan.Cox@edwardjones.com> >
Sent: Thursday, September 22, 2022 1:25 PM
To: FRPInvestigations <FRPInvestigations@edwardjones.com <mailto:FRPInvestigations@edwardjones.com> >
Cc: Walter, Kate <Kate.Walter@edwardjones.com <mailto:Kate.Walter@edwardjones.com> >; Esbeck, Alison L <Alison.Esbeck@edwardjones.com <mailto:Alison.Esbeck@edwardjones.com> >; Sangiorgio-Hirth, Josephine <Josephine.Sangiorgio-Hirth@edwardjones.com <mailto:Josephine.Sangiorgio-Hirth@edwardjones.com> >; Betlach, Chris <chris.betlach@edwardjones.com <mailto:chris.betlach@edwardjones.com> >; Cox, Dan <Dan.Cox@edwardjones.com <mailto:Dan.Cox@edwardjones.com> >; Cox, Dan <Dan.Cox@edwardjones.com <mailto:Dan.Cox@edwardjones.com> >
Subject: 2165 Restriction Added

Good afternoon,

Restrictions have been placed to the above accounts due to potential financial exploitation by a family member/Trade Auth. I will file the necessary reports with Kansas.

Thank you,

Dan Cox

Field Supervision ? Senior Client Protection

(314) 515-1989 or Ext. 5-1989

Note Date: 09/22/2022

Category: File Document

Note: FROM: Pooja.Sharma@ks.gov

DATE: Thursday 09/15/2022 03:11 PM

TO: Cox,Dan

SUBJECT: Kansas Protection Report Center Notification Letter ****DO NOT RESPOND TO THIS EMAIL****

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CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

NOTICE TO REPORTER

TO: Cox,Dan

dan.cox@edwardjones.com

FROM: Kansas Protection Report Center

RE: 2148706

Thank you for contacting the Department for Children and Families (DCF) concerning adult abuse, neglect, or exploitation on 9/14/2022. Some situations may not be assigned for further assessment. The incident or circumstance you reported was assigned for investigation. .

Kansas law protects the confidentiality of the involved adult by prohibiting DCF from disclosing further details regarding an investigation. DCF is unable to release further information to you without a written release of information.

If you have additional information about the incident or need to make another report, contact Kansas Protection Report Center by:

* Telephone: 1-800-922-5330

* Web Intake: <http://www.dcf.ks.gov/services/PPS/Pages/KIPS/KIPSWebIntake.aspx> <[* Fax: 1-866-317-4279](https://urldefense.com/v3/__http://www.dcf.ks.gov/services/PPS/Pages/KIPS/KIPSWebIntake.aspx__;!!Gqh93DdGiKGeEA!dw7NJ3AECcRuHdLaq4vYHqQthm7Wh8xwDHyn52DcodtLVR7eqc3qFjaFxfp_8rLnR4XSII29Y6PwDbJ3oe36RV6Zqw$>></p></div><div data-bbox=)

If you have a customer services concern, please contact DCF Customer Service at 1-833-765-2003.

Please note this direct email is not a means of reporting and no DCF report or assessment is made from this correspondence. If you need to make a report or provide additional information in the future, please contact the hotline at 1-800-922-5330, or if you are a mandated reporter you can report online at www.dcf.ks.gov <[Page 10 of 14](https://urldefense.com/v3/__https://gcc02.safelinks.protection.outlook.com/?url=http*3A*2F*2Fwww.dcf.ks.gov*2F&data=04*7C01*7CPooja.Sharma*40ks.gov*7C33e71cee0fdb43333ab308d9fd344839*7Cdcae8101c92d480cbc43c6761cccc5a*7C0*7C0*7C637819223249295894*7CUnknown*7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ikl1haWwiLCJXVCi6Mn0*3D*7C3000&sdata=iIWFUhlMkdzwadCEiufGJX5Y6i3pazv7P5Vt7xzpYHU*3D&reserved=0__;JSUIJSUIJSUIJSUIJSUIJSUI!!Gqh93DdGiKGeEA!dw7NJ3AECcRuHdLaq4vYHqQthm7Wh8xwDHyn52DcodtLVR7eqc3qFjaFxfp_8rLnR4XSII29Y6PwDbJ3oe0eRIAzQw$>> .</p></div><div data-bbox=)

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Note Date: 09/22/2022

Category: File Document

Note: FROM: noreply@wellsky.com
DATE: Wednesday 09/14/2022 10:28 AM
TO: Cox,Dan
SUBJECT: Protective Services Report 2148706, Submitted on 09/14/2022 at 10:28:49

=====
CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Thank you for submitting an online Protective Services Report. Your report (Intake ID 2148706) was successfully submitted on 09/14/2022 at 10:28:49 and will be reviewed and processed promptly. If you included your email address in the report, you will receive an email confirmation message indicating the screening decision of the report in 7-10 business days. The confirmation message will only include the INTAKE ID#. It is Important for you to document the INTAKE ID# to associate it with your reported concerns.

Note Date: 09/23/2022

Category: File Document

Note: sent certified mail

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Note Date: 09/23/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Friday 09/23/2022 10:53 AM
TO: Shepherd,Christine
CC: Chumbley,Gayla D; Moore,Kamikka D; Cox,Dan
SUBJECT: 2165 Letters

=====
Good morning,

Please send the attached 2165 letters via certified mail and reply with tracking information once it has been received.

Tom Price ? 92525200, 92588167, 92590560 & 92696230

FA: Brooke Donley Behrens/447177

Branch: 9253

Kamikka, copying you incase this is the day you switched w/ Christine. If not, please let me know who is in the office today.

Thank you,

Dan Cox

Field Supervision ? Senior Client Protection

(314) 515-1989 or Ext. 5-1989

Note Date: 09/27/2022

Category: File Document

Note: FROM: Cox,Dan
DATE: Tuesday 09/27/2022 01:57 PM
TO: Rosenberg,Lori R
CC: Cox,Dan; Bettlach,Chris
SUBJECT: Client Contact Sheet for IRIN - CLNTCONT

=====
Client Contact Sheet for IRIN - CLNTCONT

CLIENT CONTACT INFORMATION

FSD Name: Cox,Dan
Contact Method: Verbal
Client Contact Date: 9/27/2022
Client Name: Tom Price
Client Account Number: 92525200
FA Name: Brooke Donley Behrens
FA Number: 447177

CLIENT CONTACT DETAILS

Legal asked that we reach out to the Trusted Contact, Terry Kuhn, to confirm whether or not we are able to send her copy of the 2165 letter to Michelle Burge, the attorney she hired to file for Guardianship. She confirmed she was ok with this. I also made her aware her letter is still on the way; however, the tracking information indicated it was delayed. She did not have any additional questions at which point the call was concluded.

Note Date: 09/26/2022 **Category:** Routing

Note:

Note Date: 10/03/2022 **Category:** Routing

Note:

Note Date: 09/27/2022 **Category:** Routing

Note:

Note Date: 09/28/2022 **Category:** Routing

Note:

Note Date: 09/28/2022 **Category:** Routing

Note:

Note Date: 10/19/2022 **Category:** Routing

Note:

Note Date: 09/23/2022 **Category:** Routing

Note:

Note Date: 10/19/2022 **Category:** Routing

Note:

Note Date: 09/22/2022 **Category:** Routing

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Note Date: 09/22/2022 **Category:** Routing

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Note Date: 09/22/2022 **Category:** Routing

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Note Date: 09/27/2022

Category: Routing

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