

## Summary statement of financial position

**Edward Jones**

Dealer Member's name

**December 31, 2023**

Date

### Report on summary statement of financial position

#### Management's responsibility for the summary statement of financial position

Management is responsible for the preparation of the summary statement of financial position to clients of the Dealer Member in accordance with section 4203 of the Investment Dealer and Partially Consolidated Rules.

The following are the requirements under section 4203:

#### "4203. Summary statement of financial position available

- (1) A *Dealer Member* must provide a summary statement of its financial position, when requested, to any client who has traded in his or her account with the *Dealer Member* within the past 12 months.
- (2) The summary statement of financial position must be as at the *Dealer Member's* latest fiscal year- end date and based on its latest annual audited financial statements.
- (3) A *Dealer Member* must prepare the summary statement of financial position within 75 days of its fiscal year-end."

#### Basis of accounting and restriction on use

The summary statement of financial position of the Dealer Member is based on financial information from the latest annual Form 1 prescribed by the Canadian Investment Regulatory Organization (CIRO). Form 1 is a special purpose report that includes non-consolidated (or consolidated, as indicated by the wholly owned and "related" Dealer Member names on the cover page) financial statements and schedules, and is prepared in accordance with International Financial Reporting Standards (IFRS), except as prescribed by CIRO in the general notes and definitions to Form 1. Form 1 is prepared by the Dealer Member and filed with CIRO and the Canadian Investor Protection Fund (CIPF) on the Securities Industry Regulatory Financial Filing System (SIRFF) in order to assist the Dealer Member in demonstrating its solvency to CIRO and CIPF.

The summary statement of financial position is intended solely for the clients of the Dealer Member for the purposes of section 4203 and should not be used by parties other than the clients of the Dealer Member for any other purpose. The summary statement of financial position fairly summarizes the non-consolidated (or consolidated, as indicated by the wholly owned and "related" Dealer Member names on the cover page) financial position of the Dealer Member as at the date of its last Form 1.

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**Summary statement of financial position**

	<b>C\$000's</b>
<b>Assets</b>	
<b>Liquid assets (note 1)</b>	
Cash	185,481
Funds deposited in trust	542,885
Loans receivable, securities borrowed and resales	264,000
Securities owned	139,911
Due from clients	49,202
Due from brokers and dealers	21,339
Other liquid assets	34,197
<b>Total liquid assets</b>	<b>1,237,015</b>
<b>Other assets</b>	
Investments in and advances to subsidiaries and affiliates	2,159
Other assets	132,316
<b>Total other assets</b>	<b>134,475</b>
<b>Total assets</b>	<b>1,371,490</b>
<b>Liabilities and financial statement capital</b>	
<b>Current liabilities</b>	
Overdrafts, loans, securities loaned and repurchases	0
Securities sold short	251
Due to clients	961,863
Due to brokers and dealers	37,240
Other liabilities	158,507
<b>Total current liabilities</b>	<b>1,157,861</b>
<b>Non-current liabilities</b>	
Subordinated loans (note 2)	0
Other non-current liabilities	49,864
<b>Total non-current liabilities</b>	<b>49,864</b>
<b>Total liabilities</b>	<b>1,207,725</b>
<b>Financial statement capital</b>	
Issued capital, reserves and retained earnings (note 2)	163,765
<b>Total financial statement capital</b>	<b>163,765</b>
<b>Total liabilities and financial statement capital</b>	<b>1,371,490</b>

**Notes:**

1. Liquid assets is a regulatory asset category specific to CIRO and assets under this category are considered to be most liquid for regulatory purposes.
2. Subordinated loans, issued capital, reserves and retained earnings are treated as regulatory capital invested in the business.

**Chief Financial Officer's certification of the summary statement**

I certify that this summary statement of financial position of

**Edward Jones**

Dealer Member's name

is based on and printed from the Dealer Member's sourced last Form 1 filing to CIRO and CIPF on SIRFF.

DocuSigned by:  
*Andrew Campbell*  
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*Signature of Chief Financial Officer*

Andrew Campbe11

*Chief Financial Officer*

2024-03-28

Date