BrokerCheck Report

James Robert Domgard

CRD# 1147120

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

James R. Domgard

CRD# 1147120

Currently employed by and registered with the following Firm(s):

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
2935 Pine Lake Road
Suite A
Lincoln, NE 68516
CRD# 149018
Registered with this firm since: 02/02/2022

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
2935 Pine Lake Road
Suite A
Lincoln, NE 68516
CRD# 6694
Registered with this firm since: 02/02/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 28 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **RBC CAPITAL MARKETS, LLC**
CRD# 31194
NEW YORK, NY
03/1999 - 02/2022

B **RBC CAPITAL MARKETS, LLC**
CRD# 31194
LINCOLN, NE
03/1998 - 02/2022

B **DAIN RAUSCHER INCORPORATED**
CRD# 7600
07/1983 - 03/1998

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 28 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Office Address: **880 CARILLON PARKWAY**
SAINT PETERSBURG, FL 33716

Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/21/2023
IA	Nebraska	Investment Adviser Representative	Approved	02/07/2022
IA	Texas	Investment Adviser Representative	Approved	02/02/2022

Branch Office Locations

2935 Pine Lake Road
Suite A
Lincoln, NE 68516

Punta Gorda, FL

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Office Address: **880 CARILLON PARKWAY**
ST. PETERSBURG, FL 33716

Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/02/2022

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/09/2025
B	Alaska	Agent	Approved	02/02/2022
B	Arizona	Agent	Approved	05/02/2024
B	California	Agent	Approved	02/02/2022
B	Colorado	Agent	Approved	02/02/2022
B	Connecticut	Agent	Approved	02/02/2022
B	Florida	Agent	Approved	02/02/2022
B	Georgia	Agent	Approved	02/02/2022
B	Illinois	Agent	Approved	02/02/2022
B	Iowa	Agent	Approved	02/02/2022
B	Kansas	Agent	Approved	02/02/2022
B	Michigan	Agent	Approved	05/02/2024
B	Missouri	Agent	Approved	02/02/2022
B	Nebraska	Agent	Approved	02/02/2022
B	New Jersey	Agent	Approved	04/07/2022
B	New Mexico	Agent	Approved	02/02/2022
B	New York	Agent	Approved	02/02/2022
B	North Carolina	Agent	Approved	02/02/2022
B	North Dakota	Agent	Approved	05/02/2024
B	Ohio	Agent	Approved	02/02/2022
B	Oklahoma	Agent	Approved	02/02/2022

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	02/02/2022
B	South Dakota	Agent	Approved	02/02/2022
B	Texas	Agent	Approved	02/02/2022
B	Utah	Agent	Approved	02/02/2022
B	Virginia	Agent	Approved	02/02/2022
B	Washington	Agent	Approved	02/02/2022
B	Wyoming	Agent	Approved	05/02/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
2935 Pine Lake Road
Suite A
Lincoln, NE 68516

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/16/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/27/1999
B	Uniform Securities Agent State Law Examination	Series 63	06/27/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	03/1999 - 02/2022	RBC CAPITAL MARKETS, LLC	31194	LINCOLN, NE
B	03/1998 - 02/2022	RBC CAPITAL MARKETS, LLC	31194	LINCOLN, NE
B	07/1983 - 03/1998	DAIN RAUSCHER INCORPORATED	7600	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
02/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Lincoln, NE, United States
02/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Lincoln, NE, United States
03/2008 - 02/2022	RBC Capital Markets, LLC	Financial Advisor	Y	Lincoln, NE, United States
08/2019 - 01/2022	City National Bank	Employee of an affiliate	Y	Lincoln, NE, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

(1) Name of Business: Capitol Private Wealth Address: 2935 Pine Lake Rd Ste A, Lincoln, NE, 68516-6009, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 02/02/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 21-40 Description of duties: This is the DBA for our branch.
(2) Name of Business: Cappro LLC Address: 2935 Pine Lake Rd Ste A, Lincoln, NE, 68516, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 11/16/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is commercial real estate that includes our office in Lincoln, NE. CAPPRO LLC is owned by myself, CJ Domgard and Erin Greve as partners. This particular property is the location of our Capitol Private Wealth LLC office.

Registration and Employment History

Other Business Activities, continued

(3) Name of Business: CPW Promotions LLC Address: 2935 Pine Lake Rd. Ste. B, Lincoln, NE, 68516, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 07/12/2022 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 2-10 Description of duties: All promotional activities, community involvement, Charitable activities, advertising, video and media production for purposes of marketing. At this time and into the foreseeable future, the only client of the company will be Capitol Private Wealth LLC. If anything would change with this, I'll refile this OBA.
(4) Name of Business: Domgard Properties LLC Address: 7511 Union Hill CT, Lincoln, NE, 68516, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 05/01/2003 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: At this time, my wife and I own 2 investment properties. Actually, Domgard Properties is owned by my wife Ann solely as this simplifies our tax reporting requirements, but we are both active in this activity. Our main property is in Lincoln, NE and is a 13,500 sq. ft. warehouse that is rented to 4 different tenants. The 2nd property is a condo in Punta Gorda, FL which is primarily used by our family but is rented out seasonally for 2 or 3 months.

End of Report

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