

BrokerCheck Report

TODD STRAYER DELLINGER

CRD# 1357090

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

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:
 - o 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
 - o 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.

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.

**TODD S. DELLINGER**

CRD# 1357090

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

IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 101 MASONIC DRIVE
 ELIZABETHTOWN, PA 17022
 CRD# 149018
 Registered with this firm since: 01/02/2009

B RAYMOND JAMES FINANCIAL SERVICES, INC.
 101 MASONIC DRIVE
 ELIZABETHTOWN, PA 17022
 CRD# 6694
 Registered with this firm since: 02/16/2006

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
- 30 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- IA RAYMOND JAMES FINANCIAL SERVICES**
 CRD# 6694
 ST. PETERSBURG, FL
 03/2006 - 01/2009
- IA PRIMEVEST FINANCIAL SERVICES, INC.**
 CRD# 15340
 ST CLOUD, MN
 01/2004 - 02/2006
- B PRIMEVEST FINANCIAL SERVICES, INC.**
 CRD# 15340
 ST. CLOUD, MN
 05/2000 - 02/2006

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



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 30 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	Pennsylvania	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

101 MASONIC DRIVE
 ELIZABETHTOWN, PA 17022

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 Principal	Approved	02/16/2006
B	FINRA	General Securities Representative	Approved	02/16/2006

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	05/29/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	07/26/2007
B	Connecticut	Agent	Approved	09/02/2022
B	Delaware	Agent	Approved	04/08/2011
B	District of Columbia	Agent	Approved	10/22/2014
B	Florida	Agent	Approved	06/17/2011
B	Illinois	Agent	Approved	01/03/2013
B	Kansas	Agent	Approved	05/29/2025
B	Kentucky	Agent	Approved	01/02/2013
B	Maine	Agent	Approved	11/23/2021
B	Maryland	Agent	Approved	02/16/2006
B	Massachusetts	Agent	Approved	08/20/2020
B	Michigan	Agent	Approved	01/17/2014
B	Minnesota	Agent	Approved	04/10/2023
B	Missouri	Agent	Approved	04/20/2018
B	New Jersey	Agent	Approved	03/13/2013
B	New York	Agent	Approved	12/15/2006
B	North Carolina	Agent	Approved	02/19/2014
B	Ohio	Agent	Approved	01/09/2017
B	Oregon	Agent	Approved	04/15/2015
B	Pennsylvania	Agent	Approved	02/17/2006
B	South Carolina	Agent	Approved	03/05/2018

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	South Dakota	Agent	Approved	02/11/2025
B	Tennessee	Agent	Approved	05/17/2024
B	Texas	Agent	Approved	02/01/2013
B	Vermont	Agent	Approved	09/23/2025
B	Virginia	Agent	Approved	01/04/2013
B	Washington	Agent	Approved	05/15/2024
B	West Virginia	Agent	Approved	10/06/2022
B	Wisconsin	Agent	Approved	05/14/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
101 MASONIC DRIVE
ELIZABETHTOWN, PA 17022



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	06/28/2004

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/18/2006
B Corporate Securities Limited Representative Examination	Series 62	01/25/1995
B Investment Company Products/Variable Contracts Representative Examination	Series 6	12/04/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/15/2003
B Uniform Securities Agent State Law Examination	Series 63	12/04/1992

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2006 - 01/2009	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL
IA 01/2004 - 02/2006	PRIMEVEST FINANCIAL SERVICES, INC.	15340	LEBANON, PA
B 05/2000 - 02/2006	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
B 05/2000 - 05/2000	BISYS BROKERAGE SERVICES, INC.	23302	ST. CLOUD, MN
B 12/1992 - 05/2000	T.H.E. FINANCIAL GROUP, LTD	14720	MECHANICSBURG, PA
B 01/1989 - 11/1989	ASSET MANAGEMENT EQUITIES, LTD.	21604	
B 10/1987 - 01/1989	FSC SECURITIES CORPORATION	7461	
B 07/1986 - 01/1989	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 05/1987 - 11/1987	THE PLANNER'S SECURITIES GROUP, INC.	16546	
B 04/1987 - 05/1987	HIBBARD BROWN & CO., INC.	18246	
B 07/1986 - 08/1986	COLUMBIA ASSET MANAGEMENT CORP.	16283	
B 04/1985 - 06/1986	ATLANTIC SECURITIES, INC.	1128	

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	ELIZABETHTOWN, PA, United States
02/2006 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	ELIZABETHTOWN, PA, United States

Registration and Employment History



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: DDMP Investment Advisors, LLC Address: 101 Masonic Drive, Elizabethtown, PA, 17022, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 07/01/2006 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Branch Manager/ Financial Advisor

(2)Name of Business: DDMP Investment Advisors, LLC Address: 101 Masonic Drive, Elizabethtown, PA, 17022, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 03/01/2013 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Non-variable life insurance

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	PENNSYLVANIA CONTACT: JOSEPH MINISI (215)-560-2088
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	TODD S. DELLINGER AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.
Date Initiated:	06/23/2005
Docket/Case Number:	2005-02-14
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	INTERESTS
Allegations:	TODD S. DELLINGER VIOLATED THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.
Current Status:	Final
Resolution:	Settled



Resolution Date: 06/23/2005

Sanctions Ordered: Monetary/Fine \$225,000.00

Other Sanctions Ordered:

Sanction Details: TODD S. DELLINGER AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.

Regulator Statement FINDINGS OF FACT, CONCLUSIONS OF LAW AND OTHER ISSUED TO TODD S. DELLINGER AND OTHER NAMED RESPONDENTS.

Reporting Source: Broker

Regulatory Action Initiated By: PENNSYLVANIA SECURITIES COMMISSION

Sanction(s) Sought: Other

Other Sanction(s) Sought: SELLING OF UNREGISTERED SECURITIES

Date Initiated: 05/20/2004

Docket/Case Number: 2005-02-14

Employing firm when activity occurred which led to the regulatory action: T.H.E. FINANCIAL GROUP, LTD.

Product Type: Other

Other Product Type(s): VIATICAL SETTLEMENT

Allegations: THE SALE OF VIATICATED INSURANCE POLICIES

Current Status: Final

Resolution: Other

Resolution Date: 06/23/2005

Sanctions Ordered: Monetary/Fine \$225,000.00

Other Sanctions Ordered: GLOBAL SETTLEMENT PAY ON BEHALF OF 39 AGENTS AND FORMER BROKER DEALER.

Sanction Details: IN CONNECTION GLOBAL SETTLEMENT FORMER BROKER DEALER PAID ALL ADMINSTRATIVE ASSESSMENT AND INVESTIGATIVE COSTS ON 39 AGENTS WHO SOLD VIATICATED INSURANCE PRODUCTS IN PENNSYLVANIA.



Broker Statement

THIS WAS RESOLVED BY GLOBAL SETTLEMENT WITH ALL AGENTS AND
BROKER DEALER. PRODUCTS SOLD WERE ON FORMER BROKER
DEALERS APPROVED PRODUCT LIST. FORMER BROKER DEALER PAID
ADMINISTRATIVE ASSESSMENT AND COST, WITHOUT ADMITTING OR DENY
ALLEGATION. REGISTRANT CONSENTED TO ORDER.

End of Report



This page is intentionally left blank.