BrokerCheck Report

WILLIAM ARNOT GEARY

CRD# 1680611

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.

WILLIAM A. GEARY

CRD# 1680611

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

IA **RAYMOND JAMES & ASSOCIATES, INC.**
4266 I-55 North, Suite 200
JACKSON, MS 39211
CRD# 705
Registered with this firm since: 04/11/2012

B **RAYMOND JAMES & ASSOCIATES, INC.**
4266 I-55 North, Suite 200
JACKSON, MS 39211
CRD# 705
Registered with this firm since: 04/11/2012

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:

- 9 Self-Regulatory Organizations
- 51 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **MORGAN KEEGAN & COMPANY, INC.**
CRD# 4161
MEMPHIS, TN
06/2002 - 02/2013

B **MORGAN KEEGAN & COMPANY, INC.**
CRD# 4161
JACKSON, MS
10/1990 - 02/2013

B **GEARY & PATTERSON, INCORPORATED**
CRD# 14919
06/1987 - 02/1989

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 9 SROs and is licensed in 51 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

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

Firm CRD#: **705**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/11/2012
B	FINRA	General Securities Sales Supervisor	Approved	04/11/2012
B	Investors' Exchange LLC	General Securities Representative	Approved	08/05/2025
B	MEMX LLC	General Securities Representative	Approved	08/05/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	08/05/2025
B	NYSE American LLC	General Securities Representative	Approved	04/11/2012
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/05/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/05/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/05/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	08/05/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/26/2025
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/05/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	04/11/2012
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/11/2012

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	New York Stock Exchange	General Securities Representative	Approved	04/11/2012
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/11/2012
B	Alaska	Agent	Approved	05/14/2018
B	Arizona	Agent	Approved	04/11/2012
B	Arkansas	Agent	Approved	04/11/2012
B	California	Agent	Approved	04/11/2012
B	Colorado	Agent	Approved	06/13/2013
B	Connecticut	Agent	Approved	07/07/2021
B	Delaware	Agent	Approved	07/16/2025
B	District of Columbia	Agent	Approved	07/19/2013
B	Florida	Agent	Approved	04/11/2012
B	Georgia	Agent	Approved	04/11/2012
B	Hawaii	Agent	Approved	10/27/2022
B	Idaho	Agent	Approved	07/19/2013
B	Illinois	Agent	Approved	07/19/2013
B	Indiana	Agent	Approved	04/23/2012
B	Iowa	Agent	Approved	07/19/2013
B	Kansas	Agent	Approved	07/19/2013
B	Kentucky	Agent	Approved	07/19/2013

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	04/11/2012
B	Maine	Agent	Approved	10/21/2020
B	Maryland	Agent	Approved	07/19/2013
B	Massachusetts	Agent	Approved	07/19/2013
B	Michigan	Agent	Approved	07/19/2013
B	Minnesota	Agent	Approved	03/13/2015
B	Mississippi	Agent	Approved	04/11/2012
IA	Mississippi	Investment Adviser Representative	Approved	04/09/2013
B	Missouri	Agent	Approved	07/19/2013
B	Montana	Agent	Approved	02/09/2016
B	Nebraska	Agent	Approved	02/09/2016
B	Nevada	Agent	Approved	07/19/2013
B	New Hampshire	Agent	Approved	04/09/2014
B	New Jersey	Agent	Approved	05/26/2016
B	New Mexico	Agent	Approved	07/19/2013
B	New York	Agent	Approved	04/11/2012
B	North Carolina	Agent	Approved	07/19/2013
B	Ohio	Agent	Approved	07/19/2013
B	Oklahoma	Agent	Approved	07/19/2013
B	Oregon	Agent	Approved	07/19/2013
B	Pennsylvania	Agent	Approved	07/19/2013

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	07/08/2020
B	Rhode Island	Agent	Approved	05/16/2019
B	South Carolina	Agent	Approved	04/11/2012
B	South Dakota	Agent	Approved	03/08/2023
B	Tennessee	Agent	Approved	04/11/2012
B	Texas	Agent	Approved	04/11/2012
IA	Texas	Investment Adviser Representative	Approved	04/11/2012
B	Utah	Agent	Approved	05/14/2018
B	Vermont	Agent	Approved	07/08/2025
B	Virginia	Agent	Approved	04/28/2012
B	Washington	Agent	Approved	04/11/2012
B	West Virginia	Agent	Approved	10/14/2013
B	Wisconsin	Agent	Approved	07/05/2017
B	Wyoming	Agent	Approved	07/19/2013

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
4266 I-55 North, Suite 200
JACKSON, MS 39211

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	07/17/2002
B	General Securities Sales Supervisor - Options Module Examination	Series 9	04/12/2002

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	11/12/2014
B	General Securities Representative Examination	Series 7	06/20/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/06/1995
B	Uniform Securities Agent State Law Examination	Series 63	03/05/1988

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	06/2002 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	JACKSON, MS
B	10/1990 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	JACKSON, MS
B	06/1987 - 02/1989	GEARY & PATTERSON, INCORPORATED	14919	

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
04/2012 - Present	RAYMOND JAMES & ASSOCIATES, INC	REGISTERED ASSOCIATE	Y	JACKSON, MS, 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: capital investors LLC Investment Club Address: 235 St. Andrews Dr, Jackson, MS, 39211, United States Activity Type: Other Position/Title: Other Investment Related: Yes Start Date: 04/01/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: i am just a member of the Investment CLub
(2) Name of Business: Geary LLC Address: 235 Saint Andrews Dr, Jackson, MS, 39211, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 07/07/2025 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is a family LLC owned by me and my three sons in which we plan to invest in real estate.
(3) Name of Business: Habitat for Humanity - Mississippi Capital Area Address: 2505 Eastover, Jackson, MS, 39211, United States Activity Type: Non-profit Position/Title: Advisory Board Investment Related: Yes, Start Date: 10/23/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Advisory Board Member.

End of Report

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