

## BrokerCheck Report

### CAMERON BROOKS RAGEN

CRD# 2140003

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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:
  - 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.

**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## CAMERON B. RAGEN

CRD# 2140003

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

**IA ROBERT W. BAIRD & CO. INCORPORATED**  
 925 Fourth Ave Ste 3600  
 Seattle, WA 98104  
 CRD# 8158  
 Registered with this firm since: 11/07/2014

**B ROBERT W. BAIRD & CO. INCORPORATED**  
 925 Fourth Ave Ste 3600  
 Seattle, WA 98104  
 CRD# 8158  
 Registered with this firm since: 11/07/2014

## 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:**

- 4 Self-Regulatory Organizations
- 43 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- B MCADAMS WRIGHT RAGEN, INC.**  
 CRD# 45899  
 SEATTLE, WA  
 12/1998 - 11/2014
- IA MCADAMS WRIGHT RAGEN, INC.**  
 CRD# 45899  
 SEATTLE, WA  
 11/1998 - 11/2014
- B RAGEN MACKENZIE INCORPORATED**  
 CRD# 10582  
 SAN FRANCISCO, CA  
 10/1994 - 12/1998

### 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 4 SROs and is licensed in 43 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**

Main Office Address: **777 E. WISCONSIN AVENUE  
MILWAUKEE, WI 53202**

Firm CRD#: **8158**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/07/2014
B	FINRA	Registered Options Principal	Approved	11/07/2014
B	NYSE American LLC	General Securities Representative	Approved	11/13/2014
B	NYSE American LLC	Registered Options Principal	Approved	11/13/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	11/07/2014
B	Nasdaq Stock Market	Registered Options Principal	Approved	11/07/2014
B	New York Stock Exchange	General Securities Representative	Approved	11/13/2014

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/20/2025
B	Alaska	Agent	Approved	11/07/2014
B	Arizona	Agent	Approved	11/07/2014
B	Arkansas	Agent	Approved	11/07/2014
B	California	Agent	Approved	11/07/2014
IA	California	Investment Adviser Representative	Approved	07/10/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/07/2014
B	Connecticut	Agent	Approved	11/07/2014
B	Delaware	Agent	Approved	01/22/2025
B	District of Columbia	Agent	Approved	02/18/2021
B	Florida	Agent	Approved	11/07/2014
IA	Florida	Investment Adviser Representative	Approved	09/25/2017
B	Georgia	Agent	Approved	12/21/2015
B	Hawaii	Agent	Approved	11/07/2014
B	Idaho	Agent	Approved	11/07/2014
B	Illinois	Agent	Approved	11/07/2014
B	Indiana	Agent	Approved	11/07/2014
B	Kentucky	Agent	Approved	08/24/2020
B	Louisiana	Agent	Approved	02/25/2025
B	Maine	Agent	Approved	04/17/2018
B	Maryland	Agent	Approved	11/07/2014
B	Massachusetts	Agent	Approved	11/07/2014
B	Michigan	Agent	Approved	11/07/2014
B	Minnesota	Agent	Approved	11/07/2014
B	Missouri	Agent	Approved	11/07/2014
B	Montana	Agent	Approved	11/07/2014
B	Nevada	Agent	Approved	11/07/2014

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	05/30/2018
B	New Jersey	Agent	Approved	11/07/2014
B	New Mexico	Agent	Approved	11/07/2014
B	New York	Agent	Approved	11/07/2014
B	North Carolina	Agent	Approved	08/21/2024
B	Ohio	Agent	Approved	02/02/2022
B	Oregon	Agent	Approved	11/07/2014
B	Pennsylvania	Agent	Approved	10/23/2020
B	South Carolina	Agent	Approved	08/01/2016
B	South Dakota	Agent	Approved	11/07/2014
B	Tennessee	Agent	Approved	11/07/2014
B	Texas	Agent	Approved	11/07/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	11/07/2014
B	Utah	Agent	Approved	11/07/2014
B	Virginia	Agent	Approved	11/07/2014
B	Washington	Agent	Approved	11/07/2014
IA	Washington	Investment Adviser Representative	Approved	11/07/2014
B	West Virginia	Agent	Approved	11/22/2019
B	Wisconsin	Agent	Approved	08/05/2019
B	Wyoming	Agent	Approved	11/07/2014

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**ROBERT W. BAIRD & CO. INCORPORATED**

925 Fourth Ave Ste 3600  
Seattle, WA 98104

**ROBERT W. BAIRD & CO. INCORPORATED**

Indian Wells, CA

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## 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, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Options Principal Examination	Series 4	11/03/1998

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/03/1991

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/08/1995
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/11/1991

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/](http://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
<b>B</b> 12/1998 - 11/2014	MCADAMS WRIGHT RAGEN, INC.	45899	SEATTLE, WA
<b>IA</b> 11/1998 - 11/2014	MCADAMS WRIGHT RAGEN, INC.	45899	SEATTLE, WA
<b>B</b> 10/1994 - 12/1998	RAGEN MACKENZIE INCORPORATED	10582	SAN FRANCISCO, CA
<b>B</b> 07/1993 - 08/1993	FRANKLIN/TEMPLETON DISTRIBUTORS, INC.	332	SAN MATEO, CA
<b>B</b> 06/1992 - 06/1993	MELHADO, FLYNN & ASSOCIATES, INC.	7340	NEW YORK, NY
<b>B</b> 06/1991 - 06/1992	DOMINICK & DOMINICK, INCORPORATED	7344	OLD GREENWICH, CT

### 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
11/2014 - Present	ROBERT W. BAIRD & CO. INCORPORATED	Mass Transfer	Y	Seattle, WA, 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.

NAME/ADDRESS: 1741 1st Sodo LLC 140 Lakeside Ave #351 Seattle, WA 98112.

Role: LLC Limited Partner Start 09/2020

HOURS DEVOTED: 0-2 hours/month, Zero during market hours

Name: YMCA of Greater Seattle; Investment-related; Address: 909 4th Avenue, Seattle, WA 98104; Nature: Charitable; Role: Board Member; Start Date: 12/19/2017; Appx hrs: 1-2 hours/week; Hrs during trading: less than 1 hour/week; Duties: One of approximately 40 people to help provide oversight and direction to the organization.

## Registration and Employment History



### Other Business Activities, continued

Name: PP Holdings LLC 434 McGilvra Blvd. E. Seattle WA 98112

Type: Family LLC with my sister, brother, and mother

Role: Board Member/Officer/Partner Investment related

Start 7/6/18

Time: 5-10 hours/month, 1-2.3 during market hours

Responsibilities: Review investments quarterly

NAME/ADDRESS: Ragen Family Foundation / 434 McGilvra Blvd E. Seattle, WA 98112.

Role: Board Member/Treasurer Investment related

Start 7/6/18

NATURE OF ENTITY: Charitable family foundation.

RESPONSIBILITIES IN ROLE: Review investments quarterly

HOURS DEVOTED: 5-10 hours/month, 15% during market hours

Name/Address: 1509 Mercer LLC 232 Seventh Avenue N. Seattle WA 98109

Start Date: 5/15/23 Hours Spent: 0-2 hours/month

Hours Spent During Trading: 0-1 hours/month

Role/Responsibility: Rental Property Passive Investor

Non Investment Related

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## End of Report



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