

BrokerCheck Report

Alyn Scott Rumbold

CRD# 2254032

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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



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.

Alyn S. Rumbold

CRD# 2254032

Currently employed by and registered with the following Firm(s):**IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

16000 W University Ave
Suite 210
Flagstaff, AZ 86001
CRD# 149018

Registered with this firm since: 05/01/2025

B RAYMOND JAMES FINANCIAL SERVICES, INC.

1600 W University Ave
Suite 210
Flagstaff, AZ 86001
CRD# 6694

Registered with this firm since: 05/01/2025

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
- 19 U.S. states and territories

This broker has passed:

- 3 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 LPL FINANCIAL LLC**

CRD# 6413
FORT MILL, SC
04/2020 - 05/2025

B LPL FINANCIAL LLC

CRD# 6413
FLAGSTAFF, AZ
04/2020 - 05/2025

IA RAYMOND JAMES FINANCIAL SERVICES

ADVISORS, INC
CRD# 149018
SAINT PETERSBURG, FL
07/2017 - 04/2020

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
Customer Dispute	2
Termination	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 19 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 Arizona	Investment Adviser Representative	Approved	05/01/2025
IA Texas	Investment Adviser Representative	Restricted Approval	05/01/2025

Branch Office Locations

16000 W University Ave
Suite 210
Flagstaff, AZ 86001

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	05/01/2025
B FINRA	General Securities Sales Supervisor	Approved	05/01/2025

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	05/01/2025
B Arizona	Agent	Approved	05/01/2025
B California	Agent	Approved	05/01/2025
B Colorado	Agent	Approved	05/01/2025
B Florida	Agent	Approved	05/01/2025
B Idaho	Agent	Approved	05/02/2025
B Illinois	Agent	Approved	05/21/2025
B Maryland	Agent	Approved	05/01/2025
B Nevada	Agent	Approved	05/01/2025
B New Jersey	Agent	Approved	05/01/2025
B New Mexico	Agent	Approved	05/01/2025
B North Carolina	Agent	Approved	05/01/2025
B Ohio	Agent	Approved	05/01/2025
B Oklahoma	Agent	Approved	05/01/2025
B Oregon	Agent	Approved	05/01/2025
B Texas	Agent	Approved	05/01/2025
B Utah	Agent	Approved	05/01/2025
B Virginia	Agent	Approved	05/01/2025
B Washington	Agent	Approved	05/01/2025

Branch Office Locations

Broker Qualifications



Employment 2 of 2, continued

RAYMOND JAMES FINANCIAL SERVICES, INC.

1600 W University Ave

Suite 210

Flagstaff, AZ 86001

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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination	Series 9	05/21/2015
General Securities Sales Supervisor - General Module Examination	Series 10	03/03/2015
General Securities Principal Examination	Series 24	11/02/1995

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	07/22/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	11/11/1996
Uniform Securities Agent State Law Examination	Series 63	09/10/1992

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
B 04/2020 - 05/2025	LPL FINANCIAL LLC	6413	FLAGSTAFF, AZ
IA 04/2020 - 05/2025	LPL FINANCIAL LLC	6413	FLAGSTAFF, AZ
IA 07/2017 - 04/2020	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	FLAGSTAFF, AZ
B 08/2014 - 04/2020	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	FLAGSTAFF, AZ
B 05/2002 - 08/2014	EDWARD JONES	250	FLAGSTAFF, AZ
B 07/1992 - 06/2002	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 07/1992 - 06/2002	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
05/2025 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Flagstaff, AZ, United States
05/2025 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Flagstaff, AZ, United States
04/2020 - 05/2025	LPL Financial, LLC	Registered Representative	Y	Flagstaff, AZ, United States
09/2015 - 04/2020	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Flagstaff, AZ, United States
08/2014 - 04/2020	Raymond James Financial Services, Inc.	Registered Representative	Y	Flagstaff, AZ, 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: Flagstaff Industrial Development Authority Address: City of Flagstaff Municipal Building, Flagstaff, AZ, 86001, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: No Start Date: 08/01/2013 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Participate in meetings whenever they occur, which has been almost never. I am a volunteer citizen member.

(2) Name of Business: Merlin Planning & Investment Services Address: 1600 W University Ave Ste 210, Flagstaff, AZ, 86001-3154, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 04/05/2020 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: This is my DBA for my practice with Raymond James Financial Advisors

(3) Name of Business: San Francisco de Asis Parish Address: 1600 E Route 66, Flagstaff, AZ, 86001, United States Activity Type: Religious Position/Title: Finance/Investment Committee Member Investment Related: Yes Start Date: 06/01/2022 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 on the Finance Council for the church, which reviews the financial position of the parish each month and makes appropriate recommendations as needed.

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
Customer Dispute	0	2	N/A
Termination	N/A	1	N/A



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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES RECEIVING POOR ADVICE TO SELL A LISTED EQUITY ON SEPTEMBER 17, 2013 AND TO PURCHASE A LISTED EQUITY ON JUNE 12, 2014.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES EXCEED \$5000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/20/2014
Complaint Pending?	No
Status:	Settled



Status Date: 02/18/2015
Settlement Amount: \$3,425.50
Individual Contribution Amount: \$0.00
Firm Statement AFTER COMPLETION OF THE FIRM'S INVESTIGATION, CLIENT'S CLAIM WAS RESOLVED IN THE AMOUNT OF \$3,425.50.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: EDWARD JONES
Allegations: CLIENT ALLEGES RECEIVING POOR ADVICE TO SELL A LISTED EQUITY ON SEPTEMBER 17, 2013 AND TO PURCHASE A LISTED EQUITY ON JUNE 12, 2014.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$5,000.00
Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES EXCEED \$5000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/20/2014
Complaint Pending? No
Status: Settled
Status Date: 02/18/2015
Settlement Amount: \$3,425.00
Individual Contribution Amount: \$0.00
Broker Statement The client claimed that I recommended he sell a stock which had not been



performing well for him at the time, and then to buy a different stock in its place (partly because of its substantial dividend and the fact that it was on the firm's recommended list at the time) in order to "gin up revenue." In point of fact, as the complaint itself indicates here, the sale and purchase took place 9 months apart and were completely unrelated to one another.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	05/00/2002-06/17/2009; THE CLIENT HAS SEVERAL CONCERNS REGARDING MISREPRESENTATION, SUITABILITY AND DISCLOSURE OF FEES. THE CLIENT STATES THAT WITH HER FORMER FA SHE FELT HER ACCOUNT HAD DIVERSIFICATION AND STABILITY AND TO DATE SHE HAS NEITHER. THE CLIENT STATES SHE WILL TAKE PARTIAL RESPONSIBILITY FOR WHAT HAS TRANSPRIRED IN THE ACCOUNT, HOWEVER, CLAIMS COSTS WERE RARELY EXPLAINED, THE FA DID NOT TAKE THE TIME TO EXPLAIN INVESTMENTS, THERE WAS NO CONTACT FOR MONTHS, WAS NOT INFORMED OF SURRENDER CHARGES OR THAT EARLY WITHDRAWALS WERE SUBJECT TO IRS PENALTY, OR LIFE INSURANCE WITH PROTECTIVE WAS DOWNGRADED TO B-. THE CLIENT WANTS FUNDS REMOVED FROM EDWARD JONES WITHOUT FEES, WANTS A REFUND OF PROTECTIVE LIFE INSURANCE PAYMENTS FOR THE LAST YEAR AND WANTS ALL INVESTMENTS SINCE CURRENT FA TOOK OVER RETURNED PLUS INTEREST. FILING REQUIRED.
Product Type:	Other: MISCELLANEOUS
Alleged Damages:	\$5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/23/2009
Complaint Pending?	No
Status:	Denied
Status Date:	07/24/2009

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE FA STATED THAT COSTS ASSOCIATED WITH EACH MUTUAL FUND AND VARIABLE ANNUITY PURCHASE WERE DISCUSSED. PROSPECTUSES AND CONFIRMS WERE ALSO PROVIDED. THE UNAUTHORIZED TRADES THE CLIENT MENTIONS WERE ACTUALLY INITIATED BY EDWARD JONES TO SATISFY MARGIN CALLS DUE TO THE SIZE OF THE MARGIN LOAN. THE INFORMATION REGARDING SATISFYING MARGIN CALLS THAT IS CONTAINED IN THE ACCOUNT AGREEMENT WAS AGAIN EXPLAINED TO THE CLIENT. THE ANNUITIES THE CLIENT MENTIONS WERE FUNDED BY 1035 EXCHANGES FROM ANNUITIES ALREADY OWNED WHICH MEANS THE MONIES WERE ALREADY SUBJECT TO EARLY WITHDRAWAL. THE FA STATED THAT RISK WAS DISCUSSED WITH THE CLIENT. CALLS TO SET UP APPOINTMENTS FOR PORTFOLIO REVIEWS WERE UNRETURNED. THE CLIENT'S DISAPPOINTMENT WITH PERFORMANCE IS UNDERSTANDABLE, HOWEVER, ATTRIBUTED TO MARKET FLUCTUATION AND MARKET CONDITIONS WHICH ARE RISKS ASSOCIATED WITH INVESTING. CLAIM WAS DENIED.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Broker
Employer Name: EDWARD JONES
Termination Type: Discharged
Termination Date: 08/05/2014
Allegations: PERFORMED TWO MUTUAL FUND INTERNAL SWITCHES WITHOUT CONFIRMING WITH CLIENTS, CONTRARY TO FIRM'S DISCRETION RULES AND REQUESTED RMD FROM IRA FOR CLIENT PER SPOUSE'S REQUEST, CONTRARY TO FIRM'S UNAUTHORIZED TRADE RULES.
Product Type: Mutual Fund

End of Report



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