

## BrokerCheck Report

**MELISSA MAI FRAWLEY**

CRD# 2672930

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 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:
  - 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).

**MELISSA M. FRAWLEY**

CRD# 2672930

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

**IA ANAPOLITAN INVESTMENT GROUP, INC.**

1205 WEST ST.  
ANNAPOLIS, MD 21401  
CRD# 132539  
Registered with this firm since: 08/08/2022

**IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

1205 West St  
ANNAPOLIS, MD 21401  
CRD# 149018  
Registered with this firm since: 01/02/2009

**B RAYMOND JAMES FINANCIAL SERVICES, INC.**

1205 West St  
ANNAPOLIS, MD 21401  
CRD# 6694  
Registered with this firm since: 10/27/2005

**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
- 39 U.S. states and territories

**This broker has passed:**

- 2 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 ANAPOLITAN INVESTMENT GROUP, INC.**

CRD# 132539  
ANNAPOLIS, MD  
01/2006 - 12/2021

**IA RAYMOND JAMES FINANCIAL SERVICES**

CRD# 6694  
ST. PETERSBURG, FL  
01/2006 - 01/2009

**B A. G. EDWARDS & SONS, INC.**

CRD# 4  
ST. LOUIS, MO  
03/1998 - 12/2003

**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 39 U.S. states and territories through his or her employer.**

#### Employment 1 of 3

Firm Name: **ANNAPOLITAN INVESTMENT GROUP, INC.**

Main Office Address: **1205 WEST ST.  
ANNAPOLIS, MD 21401**

Firm CRD#: **132539**

	U.S. State/ Territory	Category	Status	Date
IA	Maryland	Investment Adviser Representative	Approved	08/08/2022

### Branch Office Locations

1205 WEST ST.  
ANNAPOLIS, MD 21401

#### Employment 2 of 3

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	Maryland	Investment Adviser Representative	Approved	01/02/2009

### Branch Office Locations



## Broker Qualifications

### Employment 2 of 3, continued

1205 West St  
ANNAPOLIS, MD 21401

### Employment 3 of 3

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

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

Firm CRD#: **6694**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	General Securities Representative	Approved	10/27/2005
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	04/12/2018

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	09/17/2018
<b>B</b>	Arizona	Agent	Approved	11/06/2024
<b>B</b>	California	Agent	Approved	01/02/2015
<b>B</b>	Colorado	Agent	Approved	01/24/2024
<b>B</b>	Connecticut	Agent	Approved	09/17/2018
<b>B</b>	Delaware	Agent	Approved	02/14/2011
<b>B</b>	District of Columbia	Agent	Approved	12/04/2020
<b>B</b>	Florida	Agent	Approved	01/04/2007
<b>B</b>	Georgia	Agent	Approved	10/08/2018
<b>B</b>	Hawaii	Agent	Approved	10/18/2024
<b>B</b>	Illinois	Agent	Approved	12/04/2020
<b>B</b>	Indiana	Agent	Approved	04/27/2018
<b>B</b>	Kansas	Agent	Approved	12/04/2020

## Broker Qualifications



### Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	01/04/2016
B	Louisiana	Agent	Approved	01/05/2018
B	Maryland	Agent	Approved	10/27/2005
B	Massachusetts	Agent	Approved	04/27/2018
B	Michigan	Agent	Approved	10/14/2015
B	Minnesota	Agent	Approved	03/03/2020
B	Missouri	Agent	Approved	12/04/2020
B	Nebraska	Agent	Approved	09/17/2018
B	Nevada	Agent	Approved	12/07/2022
B	New Hampshire	Agent	Approved	09/17/2018
B	New Jersey	Agent	Approved	04/27/2018
B	New Mexico	Agent	Approved	02/02/2021
B	New York	Agent	Approved	11/03/2011
B	North Carolina	Agent	Approved	03/28/2011
B	Ohio	Agent	Approved	09/17/2018
B	Oregon	Agent	Approved	04/27/2018
B	Pennsylvania	Agent	Approved	01/05/2011
B	South Carolina	Agent	Approved	10/15/2009
B	South Dakota	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	02/09/2024
B	Texas	Agent	Approved	04/27/2018

Broker Qualifications



Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	04/27/2018
B	Virginia	Agent	Approved	10/27/2005
B	Washington	Agent	Approved	09/17/2018
B	West Virginia	Agent	Approved	09/20/2011
B	Wisconsin	Agent	Approved	10/14/2015

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.  
1205 West St  
ANNAPOLIS, MD 21401

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	04/12/2018
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	03/06/2018

### 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	01/12/1998

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	12/22/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/28/1998

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>IA</b> 01/2006 - 12/2021	ANNAPOLITAN INVESTMENT GROUP, INC.	132539	ANNAPOLIS, MD
<b>IA</b> 01/2006 - 01/2009	RAYMOND JAMES FINANCIAL SERVICES	6694	ANNAPOLIS, MD
<b>B</b> 03/1998 - 12/2003	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO

### 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	ANNAPOLIS, MD, United States
10/2005 - Present	ANNAPOLITAN INVESTMENT GROUP, INC.	Owner/Proprietor, Officer - President	Y	ANNAPOLIS, MD, United States
10/2005 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	ANNAOLIS, MD, United States
01/1999 - 12/2017	ANNE ARUNDEL COMMUNITY COLLEGE	INDEPENDENT CONTRACTOR	N	ARNOLD, MD, 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: Solembic Estates LLC Address: 35 Poplar Point Rd, Edgewater, MD, 21037, United States Activity Type: Private Investment/Private Securities Transaction(PST) Position/Title: Investment Related: Yes Start Date: 04/23/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
- (2) Name of Business: Annapolitan Investment Group Inc Address: 801 Compass Way Ste 11, Annapolis, MD, 21401, United States Activity Type: Independent RIA Position/Title: Officer - CEO Investment Related: Yes Start Date: 10/01/2005 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: owner/president
- (3) Name of Business: Annapolitan Investment Group LLC Address: 801 Compass Way Ste 11, Annapolis, MD, 21401, United States Activity

## Registration and Employment History



### Other Business Activities, continued

Type: Support Company - Owner Position/Title: Independent Contractor, Officer - President Investment Related: No Start Date: 04/10/2017 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties : Independent contractor support company.

(4) Name of Business: Annapolitan Investment Group Inc Address: 801 Compass Way Ste 11, Annapolis, MD, 21401, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 04/15/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Maryland Registered RIA

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## End of Report



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