BrokerCheck Report

ERIC COLEMAN FOUNTAIN

CRD# 2988667

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.

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.

ERIC C. FOUNTAIN

CRD# 2988667

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

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
949 Shady Grove Rd
Fl 2
Memphis, TN 38120
CRD# 149018
Registered with this firm since: 08/12/2022

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
949 SHADY GROVE ROAD S, 2nd Floor, Ste. 200
MEMPHIS, TN 38120
CRD# 6694
Registered with this firm since: 08/12/2022

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:

- 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 **FIRST HORIZON ADVISORS, INC**
CRD# 17117
MEMPHIS, TN
10/2013 - 08/2022

B **FIRST HORIZON ADVISORS, INC.**
CRD# 17117
MEMPHIS, TN
12/2010 - 08/2022

IA **FTB ADVISORS, INC.**
CRD# 143830
MEMPHIS, TN
01/2011 - 10/2013

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 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	Tennessee	Investment Adviser Representative	Approved	08/12/2022
IA	Texas	Investment Adviser Representative	Approved	08/12/2022

Branch Office Locations

949 Shady Grove Rd
Fl 2
Memphis, TN 38120

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	08/12/2022
B	FINRA	General Securities Representative	Approved	08/12/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	08/12/2022

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Investment Co./Variable Contracts Prin	Approved	08/12/2022

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	08/12/2022
B	California	Agent	Approved	08/12/2022
B	Colorado	Agent	Approved	08/12/2022
B	Florida	Agent	Approved	08/12/2022
B	Georgia	Agent	Approved	08/12/2022
B	Illinois	Agent	Approved	04/18/2023
B	Indiana	Agent	Approved	01/25/2024
B	Kansas	Agent	Approved	01/03/2024
B	Kentucky	Agent	Approved	08/12/2022
B	Massachusetts	Agent	Approved	08/12/2022
B	Mississippi	Agent	Approved	08/12/2022
B	Missouri	Agent	Approved	08/12/2022
B	New York	Agent	Approved	08/12/2022
B	North Carolina	Agent	Approved	01/04/2023
B	Oregon	Agent	Approved	06/17/2024
B	South Carolina	Agent	Approved	09/06/2023
B	Tennessee	Agent	Approved	08/12/2022
B	Texas	Agent	Approved	08/12/2022
B	West Virginia	Agent	Approved	09/13/2022

Broker Qualifications

Employment 2 of 2, continued

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
949 SHADY GROVE ROAD S, 2nd Floor, Ste. 200
MEMPHIS, TN 38120

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 Principal Examination	Series 24	05/18/1999
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	12/22/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/18/1999
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	12/19/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	08/01/2005
B	Uniform Securities Agent State Law Examination	Series 63	12/15/1997

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	10/2013 - 08/2022	FIRST HORIZON ADVISORS, INC	17117	MEMPHIS, TN
B	12/2010 - 08/2022	FIRST HORIZON ADVISORS, INC.	17117	MEMPHIS, TN
IA	01/2011 - 10/2013	FTB ADVISORS, INC.	143830	MEMPHIS, TN
IA	12/2010 - 03/2012	FTB ADVISORS, INC.	17117	MEMPHIS, TN
B	01/2005 - 12/2010	SUNTRUST INVESTMENT SERVICES, INC.	17499	MEMPHIS, TN
IA	01/2005 - 12/2010	SUNTRUST INVESTMENT SERVICES, INC.	17499	MEMPHIS, TN
IA	01/2004 - 01/2005	NCF FINANCIAL SERVICES, INC.	120471	BARTLETT, TN
B	01/2003 - 01/2005	NCF FINANCIAL SERVICES, INC.	120471	DURHAM, NC
B	02/2002 - 01/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	10/1999 - 02/2002	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B	12/1997 - 10/1999	AXA ADVISORS, LLC	6627	NEW YORK, NY
B	12/1997 - 10/1999	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY

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
08/2022 - Present	Fountain Financial Group	Associate/Employee	N	Memphis, TN, United States
08/2022 - Present	Pinnacle Asset Management	Associate/Employee	N	Memphis, TN, United States
08/2022 - Present	Pinnacle Bank/Pinnacle Financial Partners	Associate/Employee	Y	Memphis, TN, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	Raymond James Financial Services Advisors, Inc	Investment Adviser Representative	Y	Memphis, TN, United States
08/2022 - Present	Raymond James Financial Services, Inc	Registered Representative	Y	Memphis, TN, United States
10/2013 - 08/2022	Ftb Advisors, Inc.	Mass Transfer	Y	MEMPHIS, TN, United States
12/2010 - 08/2022	First Tennessee Brokerage, Inc.	Investment Officer	Y	MEMPHIS, TN, 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: Fountain Financial Group Address: 949 Shady Grove Rd S Fl 2, Memphis, TN, 38120-4131, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 08/12/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: - build relationships with Pinnacle partners, seek prospects for bank and PAM offerings, meet with clients to discuss financial goals and objectives, manage client investment accounts.\n\n
(2) Name of Business: Fountain Investments LLC, DBA Phenix Salon Suites Address: 2123 West, Germantown, 4699 Poplar, Memphis, and 6165 Stage, Bartlett, Germantown, Memphis, Bartlett, TN, 38138, 38117, 38134, United States Activity Type: Personal/Private Investment Position/Title: Investment Related: No Start Date: 03/05/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
(3) Name of Business: Pinnacle Asset Management Address: 949 Shady Grove Rd S Fl 2, Memphis, TN, 38120-4131, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 08/12/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: - build relationships with Pinnacle partners, seek prospects for bank and PAM offerings, meet with clients to discuss financial goals and objectives, manage client investment accounts.\n\n
(4) Name of Business: Pinnacle Bank/Pinnacle Financial Parnters Address: 949 Shady Grove Rd S Fl 2, Memphis, TN, 38120-4131, United States Activity Type: Bank or Credit Union Associate Position/Title: Associate/Employee Investment Related: Yes Start Date: 08/12/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: - build relationships with Pinnacle partners, seek prospects for bank and PAM offerings, meet with clients to discuss financial goals and objectives, manage client investment accounts.\n\nvestment accounts.\n\n

End of Report

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