BrokerCheck Report

JEREMY JOHN SIRAGUSA

CRD# 3007032

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.

JEREMY J. SIRAGUSA

CRD# 3007032

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

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
14010 FNB PARKWAY
SUITE 420
OMAHA, NE 68154
CRD# 149018
Registered with this firm since: 06/18/2015

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
14010 FNB PARKWAY
SUITE 420
OMAHA, NE 68154
CRD# 6694
Registered with this firm since: 06/17/2015

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
- 50 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 NATIONAL CAPITAL MARKETS, INC.**
CRD# 115920
OMAHA, NE
05/2010 - 06/2015

B **FIRST NATIONAL CAPITAL MARKETS**
CRD# 115920
OMAHA, NE
04/2010 - 06/2015

IA **WADDELL & REED, INC.**
CRD# 866
OVERLAND PARK, KS
05/2006 - 03/2010

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	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 50 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	Colorado	Investment Adviser Representative	Approved	01/15/2016
IA	Illinois	Investment Adviser Representative	Approved	01/15/2016
IA	Iowa	Investment Adviser Representative	Approved	01/15/2016
IA	Kansas	Investment Adviser Representative	Approved	01/15/2016
IA	Nebraska	Investment Adviser Representative	Approved	06/18/2015
IA	South Dakota	Investment Adviser Representative	Approved	01/19/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	09/19/2018

Branch Office Locations

14010 FNB PARKWAY
SUITE 420
OMAHA, NE 68154

Employment 2 of 2

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

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

Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/17/2015
B	FINRA	General Securities Representative	Approved	06/17/2015
B	FINRA	Investment Banking Representative	Approved	06/17/2015
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/17/2015
B	Alaska	Agent	Approved	01/06/2025
B	Arizona	Agent	Approved	06/17/2015
B	Arkansas	Agent	Approved	06/17/2015
B	California	Agent	Approved	06/17/2015
B	Colorado	Agent	Approved	06/17/2015
B	Connecticut	Agent	Approved	12/16/2021
B	Delaware	Agent	Approved	06/17/2015
B	District of Columbia	Agent	Approved	06/20/2024
B	Florida	Agent	Approved	06/17/2015
B	Georgia	Agent	Approved	06/17/2015
B	Hawaii	Agent	Approved	08/02/2022
B	Idaho	Agent	Approved	06/17/2015
B	Illinois	Agent	Approved	06/17/2015
B	Indiana	Agent	Approved	08/19/2015

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	06/17/2015
B	Kansas	Agent	Approved	06/17/2015
B	Kentucky	Agent	Approved	10/28/2020
B	Louisiana	Agent	Approved	03/25/2020
B	Maine	Agent	Approved	01/10/2023
B	Maryland	Agent	Approved	06/17/2015
B	Massachusetts	Agent	Approved	01/22/2018
B	Michigan	Agent	Approved	06/17/2015
B	Minnesota	Agent	Approved	06/17/2015
B	Mississippi	Agent	Approved	02/20/2020
B	Missouri	Agent	Approved	06/17/2015
B	Montana	Agent	Approved	06/08/2016
B	Nebraska	Agent	Approved	06/17/2015
B	Nevada	Agent	Approved	06/17/2015
B	New Hampshire	Agent	Approved	10/18/2021
B	New Jersey	Agent	Approved	01/20/2023
B	New Mexico	Agent	Approved	01/07/2016
B	New York	Agent	Approved	05/03/2016
B	North Carolina	Agent	Approved	06/17/2015
B	North Dakota	Agent	Approved	03/20/2024
B	Ohio	Agent	Approved	02/20/2020

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	02/20/2019
B	Oregon	Agent	Approved	06/17/2015
B	Pennsylvania	Agent	Approved	06/17/2015
B	South Carolina	Agent	Approved	08/20/2018
B	South Dakota	Agent	Approved	06/17/2015
B	Tennessee	Agent	Approved	06/17/2015
B	Texas	Agent	Approved	06/17/2015
B	Utah	Agent	Approved	03/16/2017
B	Vermont	Agent	Approved	03/14/2025
B	Virginia	Agent	Approved	06/17/2015
B	Washington	Agent	Approved	06/17/2015
B	West Virginia	Agent	Approved	06/07/2023
B	Wisconsin	Agent	Approved	06/17/2015
B	Wyoming	Agent	Approved	06/17/2015

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
14010 FNB PARKWAY
SUITE 420
OMAHA, NE 68154

RAYMOND JAMES FINANCIAL SERVICES, INC.
322 BROADWAY
YANKTON, SD 57078

RAYMOND JAMES FINANCIAL SERVICES, INC.

Broker Qualifications

Employment 2 of 2, continued

5504 NORTH 90th STREET
OMAHA, NE 68134

RAYMOND JAMES FINANCIAL SERVICES, INC.
920 54TH AVENUE
GREELEY, CO 80634

RAYMOND JAMES FINANCIAL SERVICES, INC.
750 N. LINCOLN AVENUE
LOVELAND, CO 80537

RAYMOND JAMES FINANCIAL SERVICES, INC.
16770 W. MAPLE ROAD
OMAHA, NE 68116

RAYMOND JAMES FINANCIAL SERVICES, INC.
5812 SOUTH 144TH STREET
OMAHA, NE 68137

RAYMOND JAMES FINANCIAL SERVICES, INC.
8418 FREDERICK
OMAHA, NE 68124

RAYMOND JAMES FINANCIAL SERVICES, INC.
14310 FNB PARKWAY
OMAHA, NE 68154

RAYMOND JAMES FINANCIAL SERVICES, INC.
11700 SOUTH IL ROUTE 47
HUNTLEY, IL 60142

RAYMOND JAMES FINANCIAL SERVICES, INC.
355 S. DIVISION STREET
HARVARD, IL 60033

RAYMOND JAMES FINANCIAL SERVICES, INC.
511 W. STATE STREET
SYCAMORE, IL 60178

RAYMOND JAMES FINANCIAL SERVICES, INC.
677 EAST GRANT HWY.
MARENGO, IL 60152

RAYMOND JAMES FINANCIAL SERVICES, INC.
109 W. VETERAN'S PARKWAY
YORKVILLE, IL 60560

Broker Qualifications

Employment 2 of 2, continued

RAYMOND JAMES FINANCIAL SERVICES, INC.
100 W. CHURCH STREET
SANDWICH, IL 60548

RAYMOND JAMES FINANCIAL SERVICES, INC.
4603 SOUTH TIMBERLINE ROAD
FORT COLLINS, CO 80528

RAYMOND JAMES FINANCIAL SERVICES, INC.
13518 S. ALDEN
OLATHE, KS 66062

RAYMOND JAMES FINANCIAL SERVICES, INC.
6601 U.S. 34
OSWEGO, IL 60543

RAYMOND JAMES FINANCIAL SERVICES, INC.
7901 W. 159TH STREET
OVERLAND PARK, KS 66223

RAYMOND JAMES FINANCIAL SERVICES, INC.
36 E. GALENA BLVD.
SUGAR GROVE, IL 60554

RAYMOND JAMES FINANCIAL SERVICES, INC.
155 W BOARDWALK DRIVE
Suite 100
FORT COLLINS, CO 80525

RAYMOND JAMES FINANCIAL SERVICES, INC.
9700 METCALF
OVERLAND PARK, KS 66212

RAYMOND JAMES FINANCIAL SERVICES, INC.
1450 N BOYD LAKE AVENUE
LOVELAND, CO 80537

RAYMOND JAMES FINANCIAL SERVICES, INC.
810 ALLEN DRIVE
GRAND ISLAND, NE 68802

RAYMOND JAMES FINANCIAL SERVICES, INC.
3808 N 203RD STREET
ELKHORN, NE 68022

Broker Qualifications

Employment 2 of 2, continued

RAYMOND JAMES FINANCIAL SERVICES, INC.
610 N Main St
FREMONT, NE 68025

RAYMOND JAMES FINANCIAL SERVICES, INC.
1501 N 84th St
Lincoln, NE 68505

RAYMOND JAMES FINANCIAL SERVICES, INC.
2205 N 6th St
Beatrice, NE 68310

RAYMOND JAMES FINANCIAL SERVICES, INC.
1601 Dodge St,
Omaha, NE 68102

RAYMOND JAMES FINANCIAL SERVICES, INC.
700 N LINCOLN AVENUE
YORK, NE 68467

RAYMOND JAMES FINANCIAL SERVICES, INC.
7818 CASS STREET
OMAHA, NE 68114

RAYMOND JAMES FINANCIAL SERVICES, INC.
7960 TOWNE CENTER PARKWAY
PAPILLION, NE 68046

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	05/19/2010
B	Registered Options Principal Examination	Series 4	07/14/2000

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/29/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/09/2006
B	Uniform Securities Agent State Law Examination	Series 63	08/12/1999

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	05/2010 - 06/2015	FIRST NATIONAL CAPITAL MARKETS, INC.	115920	OMAHA, NE
B	04/2010 - 06/2015	FIRST NATIONAL CAPITAL MARKETS	115920	OMAHA, NE
IA	05/2006 - 03/2010	WADDELL & REED, INC.	866	OMAHA, NE
B	05/2006 - 03/2010	WADDELL & REED, INC.	866	OMAHA, NE
B	01/2006 - 04/2006	QA3 FINANCIAL CORP.	14754	OMAHA, NE
B	03/2000 - 10/2005	AMERITRADE, INC.	5633	OMAHA, NE
B	07/1999 - 12/2001	AMERITRADE	36559	BELLEVUE, NE

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
11/2018 - Present	First Investments & Planning	Support Company/DBA (Non-Owner)	N	Omaha, NE, United States
06/2015 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	OMAHA, NE, United States
06/2015 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	OMAHA, NE, United States
03/2010 - Present	FIRST NATIONAL BANK OF OMAHA	DIRECTOR	Y	OMAHA, NE, United States
03/2010 - Present	First National Bank	Director	Y	Omaha, NE, United States
06/2015 - 02/2022	First National Bank of Omaha	Director	Y	Omaha, NE, United States
06/2018 - 12/2018	First Insurance Group LLC	Non-variable Insurance	Y	Omaha, NE, United States
02/2017 - 01/2018	First National Bank dba Insurance Services	Non-variable Insurance	Y	Omaha, NE, 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) First Investments & Planning
Address: Omaha, NE
Nature of the Business: Support Company/DBA (Non-Owner)
Position/Title: Support Company/DBA (Non-Owner)
Investment Related: No
Start Date: 11/19/2018
Hours per month devoted to this business: 200
Hours per month devoted to this business during trading hours: 130
Description of duties: Program Manager

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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
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4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 - 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: WADDELL & REED, INC.

Allegations: CUSTOMER ALLEGES THAT 01/02/2008 PREMIUM PAYMENT MADE TO NATIONWIDE OF $225 FOR HIS VUL CANNOT BE FULLY ACCOUNTED FOR ON THE TRANSACTION CONFIRMATION STATEMENT. CUSTOMER ALSO ALLEGES THAT VUL WAS MISREPRESENTED AS TERM INSURANCE. CUSTOMER REQUESTS THAT HIS POLICY BE CANCELLED AND ALL MONIES PAID TOWARDS THE POLICY BE RETURNED TO HIM. POLICY PURCHASED 09/24/2007

Product Type: Insurance

Alleged Damages: $8,331.71

Customer Complaint Information

Date Complaint Received: 01/15/2008

Complaint Pending? No

Status: Denied

Status Date: 02/21/2008

Settlement Amount:

Individual Contribution

Amount:

End of Report

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