

## BrokerCheck Report

### Bryan James Hickingbottom

CRD# 4305123

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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).

## Bryan J. Hickingbottom

CRD# 4305123

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

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

215 WEST OAK STREET  
SUITE 1  
LODI, CA 95240  
CRD# 149018

Registered with this firm since: 02/11/2009

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

115 S School St  
Suite 10  
Lodi, CA 95240  
CRD# 6694

Registered with this firm since: 01/30/2009

## 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
- 38 U.S. states and territories

### 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**

**This broker has passed:**

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

### Registration History

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

**IA NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)**

CRD# 29604  
LOS ANGELES, CA  
01/2008 - 01/2009

**B NATIONAL PLANNING CORPORATION**

CRD# 29604  
LODI, CA  
01/2005 - 01/2009

**IA KIPP BRANT DRUMMOND & ASSOCIATES, INC.**

CRD# 108811  
VENTURA, CA  
01/2006 - 01/2008

## 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 38 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 California	Investment Adviser Representative	Approved	02/11/2009
IA Texas	Investment Adviser Representative	Restricted Approval	01/23/2019

### Branch Office Locations

215 WEST OAK STREET  
SUITE 1  
LODI, CA 95240

115 S School St  
Suite 10  
Lodi, CA 95240

### 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	01/30/2009

## Broker Qualifications



## Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/30/2009
U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	01/06/2016
B Arizona	Agent	Approved	01/07/2013
B Arkansas	Agent	Approved	07/29/2021
B California	Agent	Approved	01/30/2009
B Colorado	Agent	Approved	01/06/2016
B District of Columbia	Agent	Approved	03/17/2023
B Florida	Agent	Approved	01/06/2016
B Georgia	Agent	Approved	05/14/2020
B Hawaii	Agent	Approved	10/03/2016
B Idaho	Agent	Approved	01/06/2016
B Illinois	Agent	Approved	07/29/2021
B Indiana	Agent	Approved	04/11/2017
B Kansas	Agent	Approved	02/18/2025
B Kentucky	Agent	Approved	01/06/2016
B Louisiana	Agent	Approved	03/13/2023
B Maine	Agent	Approved	06/12/2025
B Maryland	Agent	Approved	07/24/2025
B Massachusetts	Agent	Approved	08/22/2016
B Michigan	Agent	Approved	01/06/2016

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Minnesota	Agent	Approved	06/10/2025
B Missouri	Agent	Approved	01/06/2016
B Montana	Agent	Approved	07/29/2021
B Nevada	Agent	Approved	02/25/2013
B New Mexico	Agent	Approved	07/30/2019
B New York	Agent	Approved	03/16/2011
B North Carolina	Agent	Approved	09/28/2010
B Ohio	Agent	Approved	01/06/2016
B Oklahoma	Agent	Approved	01/18/2017
B Oregon	Agent	Approved	08/04/2015
B Pennsylvania	Agent	Approved	05/18/2021
B South Carolina	Agent	Approved	01/06/2016
B South Dakota	Agent	Approved	02/04/2020
B Tennessee	Agent	Approved	07/29/2021
B Texas	Agent	Approved	01/06/2016
B Utah	Agent	Approved	06/03/2021
B Washington	Agent	Approved	03/26/2013
B Wisconsin	Agent	Approved	08/08/2024
B Wyoming	Agent	Approved	08/21/2025

### Branch Office Locations

## Broker Qualifications



### Employment 2 of 2, continued

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

115 S School St  
Suite 10  
Lodi, CA 95240

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

2340 GEER ROAD  
TURLOCK, CA 95382

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

3001 MCHENRY AVENUE  
MODESTO, CA 95350

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

8799 ELK GROVE BLVD.  
ELK GROVE, CA 95624

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

1200 C STREET  
GALT, CA 95632

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

4612 MCGAW STREET  
STOCKTON, CA 95207

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

121 WEST PINE STREET  
LODI, CA 95240

**RAYMOND JAMES FINANCIAL SERVICES, INC.**

135 N Churh St Suite #1  
Lodi, CA 95240

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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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	06/22/2006

#### 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	01/04/2001

#### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	01/15/2001

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
IA 01/2008 - 01/2009	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	LODI, CA
B 01/2005 - 01/2009	NATIONAL PLANNING CORPORATION	29604	LODI, CA
IA 01/2006 - 01/2008	KIPP BRANT DRUMMOND & ASSOCIATES, INC.	108811	LODI, CA
IA 02/2005 - 12/2006	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	LODI, CA
B 12/2002 - 01/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
IA 12/2002 - 01/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	LODI, CA
B 12/2002 - 01/2005	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 12/2004 - 12/2004	VALIC FINANCIAL ADVISORS, INC.	42803	HOUSTON, TX
IA 12/2004 - 12/2004	VALIC FINANCIAL ADVISORS, INC.	42803	ROSEVILLE, CA
IA 02/2001 - 12/2002	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SACRAMENTO, CA
B 01/2001 - 12/2002	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B 01/2001 - 12/2002	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN

## Employment History

# Registration and Employment History



## Employment History, continued

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
05/2021 - Present	Hickingbottom Financial Services	Officer - Ceo	N	LODI, CA, United States
02/2009 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser Rep	Y	LODI, CA, United States
01/2009 - Present	Raymond James Financial Services, Inc	Financial Advisor	Y	LODI, CA, United States
01/2005 - Present	Non-Variable Ltc Insurance	Insurance Agent	Y	LODI, CA, 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: Address: 135 N. Church St., Ste. 1 , Lodi, CA, 95240, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 01/01/2005 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Renewal commissions from previously written LTC policies

(2)Name of Business: (209)333-4505 Address: 135 N Church St Ste 1, Lodi, CA, 95240, United States Activity Type: Non-variable Insurance Position/Title: Owner Investment Related: Yes Start Date: 03/04/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Write direct fixed annuity business.

(3)Name of Business: Hickingbottom Financial Services Address: 135 N Church St Ste 1, Lodi, CA, 95240, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 05/28/2021 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Branch Owner/Operator

## End of Report



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