

## BrokerCheck Report

**JOHN MORRISON CONNALLY**

CRD# 52239

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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).

**JOHN M. CONNALLY**

CRD# 52239

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

**IA RAYMOND JAMES & ASSOCIATES, INC.**  
 5847 SAN FELIPE STREET  
 Ste 3900  
 HOUSTON, TX 77057  
 CRD# 705  
 Registered with this firm since: 10/06/1995

**B RAYMOND JAMES & ASSOCIATES, INC.**  
 5847 SAN FELIPE STREET  
 Ste 3900  
 HOUSTON, TX 77057  
 CRD# 705  
 Registered with this firm since: 10/05/1995

**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:**

- 9 Self-Regulatory Organizations
- 19 U.S. states and territories

**This broker has passed:**

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

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

**B EVEREN SECURITIES, INC.**  
 CRD# 19616  
 ST. LOUIS, MO  
 09/1990 - 09/1995

**B LOVETT UNDERWOOD NEUHAUS & WEBB, INC.**  
 CRD# 22540  
 09/1988 - 09/1990

**B BOETTCHER & COMPANY, INC.**  
 CRD# 101  
 09/1987 - 09/1988

**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
Regulatory Event	1
Criminal	1
Customer Dispute	4



## 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 9 SROs and is licensed in 19 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

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

Firm CRD#: **705**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/05/1995
B	Investors' Exchange LLC	General Securities Representative	Approved	10/01/2025
B	MEMX LLC	General Securities Representative	Approved	10/01/2025
B	NYSE American LLC	General Securities Representative	Approved	02/01/1996
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/01/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/01/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/05/1995
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	10/09/1995

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	02/12/2024
B	Colorado	Agent	Approved	04/28/2014
B	Connecticut	Agent	Approved	04/10/2013
B	Florida	Agent	Approved	10/13/1995



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	06/02/2005
B	Illinois	Agent	Approved	01/14/2016
B	Indiana	Agent	Approved	12/26/2019
B	Iowa	Agent	Approved	09/16/2024
B	Louisiana	Agent	Approved	12/07/1995
B	Minnesota	Agent	Approved	09/23/2021
B	North Carolina	Agent	Approved	04/07/2016
B	Oklahoma	Agent	Approved	10/09/1995
B	Oregon	Agent	Approved	11/14/2016
B	Pennsylvania	Agent	Approved	02/02/2007
B	South Carolina	Agent	Approved	09/03/1997
B	Tennessee	Agent	Approved	11/06/2023
B	Texas	Agent	Approved	10/06/1995
IA	Texas	Investment Adviser Representative	Approved	10/06/1995
B	Virginia	Agent	Approved	03/16/2022
B	Washington	Agent	Approved	02/01/2023

### Branch Office Locations

**RAYMOND JAMES & ASSOCIATES, INC.**  
 5847 SAN FELIPE STREET  
 Ste 3900  
 HOUSTON, TX 77057



## 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, 6 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	08/18/1982

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> AMEX Put and Call Exam	PC	12/18/1995
<b>B</b> National Commodity Futures Examination	Series 3	08/03/1982
<b>B</b> Interest Rate Options Examination	Series 5	10/05/1981
<b>B</b> Registered Representative Examination	Series 1	11/01/1972

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/26/1982

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>B</b> 09/1990 - 09/1995	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO
<b>B</b> 09/1988 - 09/1990	LOVETT UNDERWOOD NEUHAUS & WEBB, INC.	22540	
<b>B</b> 09/1987 - 09/1988	BOETTCHER & COMPANY, INC.	101	
<b>B</b> 03/1984 - 09/1987	ROTAN MOSLE INC.	727	
<b>B</b> 08/1977 - 05/1984	E. F. HUTTON & COMPANY INC	235	
<b>B</b> 11/1972 - 09/1977	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	

### 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
09/1995 - Present	RAYMOND JAMES & ASSOCIATES, INC.	NOT PROVIDED	Y	HOUSTON, TX, 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.

No information reported.



## 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
Regulatory Event	0	1	0
Criminal	0	1	0
Customer Dispute	0	4	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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	COMMODITY FUTURES TRADE COMMISSION
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/01/1984
<b>Docket/Case Number:</b>	88-3
<b>Employing firm when activity occurred which led to the regulatory action:</b>	E.F. HUTTON & CO., INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	11/17/1987
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

+07/14/97+ CFTC PROCEEDINGS BULLETIN DATED DECEMBER 31, 1996, PAGE 61, DISCLOSES; JOHN M. CONNALLY VIOLATED CFTC REGULATION 1.56(c). CONNALLY WAS ISSUED A CEASE AND DESIST ORDER AND PENALIZED IN THE AMOUNT OF \$5,000. DOCKET/CASE NO. 88-3, DATED 11/17/87.

**Reporting Source:**

Broker

**Regulatory Action Initiated By:**

COMMODITY FUTURES TRADING COMMISSION (CFTC)

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

02/01/1984

**Docket/Case Number:**

88-3

**Employing firm when activity occurred which led to the regulatory action:**

E.F. HUTTON & CO., INC.

**Product Type:****Other Product Type(s):****Allegations:**

VIOLATING CFTC REGULATION  
1.56(C)-GUARANTEEING CUSTOMERS AGAINST LOSS

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

11/17/1987

**Sanctions Ordered:**

Cease and Desist/Injunction  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:**

I PAID A FINE OF \$5,000.00 I PAID A FINE  
RESULTING FROM EF HUTTON ALLOWING A BROKER TO GUARANTEE  
CERTAIN  
CLIENTS OF MINE THAT HE WOULD STOP MANAGING THEIR COMMODITY  
ACCOUNTS IF THEIR ORIGINAL EQUITIES FELL 25%. THIS GUARANTEE



WAS NOT MADE BY ME, HOWEVER SINCE THE CLIENTS WERE MINE THE CFTC HELP ME PARTIALLY RESPONSIBLE FOR THE OTHER BROKERS PLEDGE.

**Broker Statement**

JOH LONDON WAS THE EF HUTTON BROKER WHO SPECIALIZED IN TRADING S&P 500 STOCK INDEX FUTURES, AND HANDLED SEVERAL OF MY ACCOUNTS ALONG WITH OTHER BROKER'S CLIENTS IN OUR OFFICE. HE WAS SOLELY RESPONSIBLE FOR ALL TRADING AND ALL AGREEMENTS HE MADE WITH CLIENTS CONCERNING HIS RISK CONTROLS. DUE TO LONDONS GUARANTEE WITH CLIENTS NUMEROUS INNOCENT BROKERS WHO RELIED ON HIM WERE FINED \$5,000 EACH.



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	Montgomery County, 359th District Court
<b>Name of Court:</b>	Montgomery County, 359th District Court
<b>Location of Court:</b>	Montgomery County, TX
<b>Docket/Case #:</b>	20-12-15009
<b>Charge Date:</b>	12/20/2020
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Evading Arrest Detention w/Vehicle
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	N/A
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/15/2021
<b>Disposition Date:</b>	03/15/2021
<b>Sentence/Penalty:</b>	Case Dismissed 3/15/2021



## 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 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** ROTAN-MOSLE

**Allegations:** UNSUITABLE TRADES, CHURNING, DESCRESTIONARY AUTHORIZATION

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 02/01/1989

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/01/1990

**Settlement Amount:** \$40,000.00

**Individual Contribution Amount:** \$16,000.00

**Broker Statement**

ROTAN-MOSLE AND I SETTLED BY REIMBURSING 100% OF MY CLIENTS COMMISSIONS PLUS 7% INTEREST WHICH CAME TO \$40,000.00. MY PORTION WAS 40% OR \$16,000. I WAS NEVER FINED, SUSPENDED, RESTRICTED IN ANY WAY, OR FOUND GUILTY OF COMPLAINT BROUGHT BY CLIENT'S NEPHEW.

MY CLIENT, THIRD PARTY WAS HAPPY WITH THE JOB I HAD DONE FOR HIM FROM 1972 UNTIL 1985 WHEN WE STOPPED TRADING. HOWEVER, FOUR YEARS LATER AFTER HE HAD SUFFERED A MAJOR STROKE AND WAS UNABLE TO DEFEND ME HIS NEPHEW BROUGHT THIS COMPLAINT. MY CLIENT WORKED WITH ME AT 3 DIFFERENT FIRMS. I NEVER DID THE THINGS ALLEDGED, HOWEVER, ROTAN-MOSLE'S ATTORNEYS SAID TO SETTLE WAS BEST, SINCE DUE TO THIRD PARTY'S MENTAL INCAPACITY HE WAS UNABLE TO DEFEND ME.



## Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** ALLEGATIONS OF UNSUITABILITY, FAILURE TO DISCLOSE, MISREPRESENTATION, UNAUTHORIZED DISCRETION, EXCESSIVE TRADING AND BREACH OF FIDUCIARY DUTY RESULTING IN DAMAGES OF \$124,902.60.

**Product Type:**

**Alleged Damages:** \$124,902.60

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** New York Stock Exchange

**Date Notice/Process Served:** 02/01/1989

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/15/1990

**Monetary Compensation Amount:** \$40,000.00

**Individual Contribution Amount:** \$16,000.00

**Firm Statement** THIS MATTER WAS SETTLED FOR \$40,000. MR.



CONNALLY CONTRIBUTED \$16,000 OR 40%.  
Not Provided

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** UNSUITABLE TRADES, CHURNING AND DISCRETIONARY AUTHORIZATION.

**Product Type:**

**Alleged Damages:** \$124,902.60

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NEW YORK STOCK EXCHANGE

**Date Notice/Process Served:** 02/01/1989

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/15/1990

**Monetary Compensation Amount:** \$40,000.00

**Individual Contribution Amount:** \$16,000.00

**Broker Statement** ROTAN-MOSLE AND JOHN CONNALLY AGREED TO SETTLE





FOR \$40,000 ON A 60%/40% BASIS (I.E. I PAID \$16,000). IT IS MY UNDERSTANDING THAT THIS RECOVERED 1/2 HIS COMMISSIONS PLUS INTEREST ON THESE COMMISSIONS AT A RATE OF 7%.

I PURSUED AN INVESTMENT STRATEGY WHICH CUSTOMER COMPLETELY APPROVED OF AND WAS CONSISTENT WITH HIS INVESTMENT OBJECTIVES, FINANCIAL RESOURCES AND MENTAL AND PHYSICAL CAPACITY. I COMPLETELY AND FULLY DISCLOSED ALL RISK FACTORS AND COSTS RELATING TO THE INVESTMENT STRATEGY CUSTOMER WAS FOLLOWING. I DISCUSSED ALL TRADING WITH CUSTOMER PRIOR TO ENTERING ORDERS AND NEVER OPERATED THE ACCOUNT ON A DISCRETIONARY BASIS. I MADE TRADES IN CUSTOMER'S ACCOUNT CONSISTENT WITH HIS TRADING STRATEGY, WHICH HAD BEEN ESTABLISHED YEARS BEFORE THE TIME PERIOD OF APRIL 1984 THROUGH MARCH 1986, IN WHICH THE STATEMENT OF CLAIM IS BASED. ALSO, IT IS IMPORTANT TO REMEMBER THAT IT IS NOT CUSTOMER, BUT HIS RELATIVES WHO BROUGHT THE CLAIMS AGAINST ME A FULL 3 YEARS AFTER I STOPPED TRADING WITH CUSTOMER.



## 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 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Raymond James & Associates, Inc.

**Allegations:** Client alleges FA recommended unsuitable investments which resulted in tax consequences. Activity Dates 2/14/17 - 1/31/19.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$8,576.00

**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:** 01/31/2019

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/14/2019

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES & ASSOCIATES, INC.

**Allegations:** \*\*UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE



CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE\*\* SUITABILITY - CUSTOMER ALLEGES IN LETTER TO COMPLIANCE THAT MUTUAL FUNDS ARE NOT SUITABLE. NO DOLLAR AMOUNT SPECIFIED - FIRM ESTIMATES OVER \$5,000.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** (OPEN END)

**Alleged Damages:** \$5,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 02/11/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/15/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

\*\*UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE\*\* FIRM DENIED CLAIM ON APPROX. 4/15/03

## End of Report



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