

## BrokerCheck Report

**JAMES WENNLUND**

CRD# 5289107

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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).

**JAMES WENNLUND**

CRD# 5289107

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

**IA RAYMOND JAMES & ASSOCIATES, INC.**  
 3133 West Frye Road  
 Suite 410  
 Chandler, AZ 85226  
 CRD# 705  
 Registered with this firm since: 11/23/2020

**B RAYMOND JAMES & ASSOCIATES, INC.**  
 3133 West Frye Road  
 Suite 410  
 Chandler, AZ 85226  
 CRD# 705  
 Registered with this firm since: 08/30/2013

**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
- 48 U.S. states and territories

**This broker has passed:**

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

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

**IA EDWARD JONES**  
 CRD# 250  
 ST. LOUIS, MO  
 04/2007 - 09/2013

**B EDWARD JONES**  
 CRD# 250  
 MESA, AZ  
 03/2007 - 09/2013

**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? **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 9 SROs and is licensed in 48 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	08/30/2013
B	FINRA	General Securities Sales Supervisor	Approved	05/02/2014
B	Investors' Exchange LLC	General Securities Representative	Approved	10/28/2025
B	MEMX LLC	General Securities Representative	Approved	10/28/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	10/28/2025
B	NYSE American LLC	General Securities Representative	Approved	08/30/2013
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/28/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/28/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/28/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/28/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/30/2013
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	05/02/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	08/30/2013
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/02/2014



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	08/30/2013
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	07/09/2014
<b>B</b> Alaska	Agent	Approved	04/04/2016
<b>B</b> Arizona	Agent	Approved	08/30/2013
<b>B</b> Arkansas	Agent	Approved	01/02/2015
<b>B</b> California	Agent	Approved	08/30/2013
<b>IA</b> California	Investment Adviser Representative	Approved	07/15/2025
<b>B</b> Colorado	Agent	Approved	07/09/2014
<b>B</b> Connecticut	Agent	Approved	02/23/2022
<b>B</b> Delaware	Agent	Approved	05/19/2020
<b>B</b> District of Columbia	Agent	Approved	03/31/2016
<b>B</b> Florida	Agent	Approved	08/30/2013
<b>B</b> Georgia	Agent	Approved	07/09/2014
<b>B</b> Idaho	Agent	Approved	07/09/2014
<b>B</b> Illinois	Agent	Approved	07/09/2014
<b>B</b> Indiana	Agent	Approved	07/09/2014
<b>B</b> Iowa	Agent	Approved	08/30/2013
<b>B</b> Kansas	Agent	Approved	07/09/2014
<b>B</b> Kentucky	Agent	Approved	04/26/2016

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	07/09/2014
B	Maine	Agent	Approved	05/25/2016
B	Maryland	Agent	Approved	07/09/2014
B	Massachusetts	Agent	Approved	07/09/2014
B	Michigan	Agent	Approved	03/31/2016
B	Minnesota	Agent	Approved	04/30/2015
B	Mississippi	Agent	Approved	03/31/2016
B	Missouri	Agent	Approved	05/14/2014
B	Montana	Agent	Approved	07/09/2014
B	Nebraska	Agent	Approved	09/09/2014
B	Nevada	Agent	Approved	07/09/2014
B	New Hampshire	Agent	Approved	05/28/2024
B	New Jersey	Agent	Approved	05/14/2014
B	New Mexico	Agent	Approved	07/09/2014
B	New York	Agent	Approved	07/09/2014
B	North Carolina	Agent	Approved	07/10/2014
B	North Dakota	Agent	Approved	01/07/2014
B	Ohio	Agent	Approved	05/25/2016
B	Oklahoma	Agent	Approved	07/09/2014
B	Oregon	Agent	Approved	01/07/2014
B	Pennsylvania	Agent	Approved	03/31/2016

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	09/11/2020
B	South Carolina	Agent	Approved	07/09/2014
B	South Dakota	Agent	Approved	08/19/2016
B	Texas	Agent	Approved	07/09/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	11/23/2020
B	Utah	Agent	Approved	12/02/2013
B	Virginia	Agent	Approved	07/09/2014
B	Washington	Agent	Approved	08/30/2013
B	West Virginia	Agent	Approved	07/09/2014
B	Wisconsin	Agent	Approved	07/09/2014
B	Wyoming	Agent	Approved	05/25/2016

### Branch Office Locations

#### RAYMOND JAMES & ASSOCIATES, INC.

3133 West Frye Road  
Suite 410  
Chandler, AZ 85226

#### RAYMOND JAMES & ASSOCIATES, INC.

Los Angeles, CA



## 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 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	05/01/2014
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	03/17/2014

### 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	03/28/2007

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	04/12/2007

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> 04/2007 - 09/2013	EDWARD JONES	250	MESA, AZ
<b>B</b> 03/2007 - 09/2013	EDWARD JONES	250	MESA, AZ

### 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
06/2025 - Present	Tito's Vodka	Independent Contractor	N	Phoenix, AZ, United States
08/2013 - Present	RAYMOND JAMES & ASSOCIATES	BRANCH MANAGER	Y	TEMPE, AZ, 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: James Wennlund, Stand Up Comedian Address: N/A, N/A, AZ, N/A, United States Activity Type: Other Position/Title: Artist Investment Related: No Start Date: 04/12/2024 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Stand Up Comedian. I perform approximately 4-6 shows per month.

## 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 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.

### 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:** EDWARD JONES

**Allegations:** 3/10-4/10; THE CLIENT CLAIMS THAT IN MARCH WHEN HIS FATHER PASSED AWAY HE INHERITED 1/3 OF HIS ASSETS. THE CLIENT CLAIMS THAT HE TALKED WITH THE FINANCIAL ADVISOR ABOUT THE ASSETS, HOWEVER, CLAIMS THAT THE FINANCIAL ADVISOR AND HE DISCUSSED PAYING DOWN SOME OF HIS DEBTS BUT THAT A DECISION WOULD BE MADE AT A LATER DATE WITH REGARD TO THE REMAINDER OF THE ASSETS. THE CLIENT CLAIMS IN APRIL 2010 THE FINANCIAL ADVISOR ARRANGED TO PAY DOWN THE DEBTS PREVIOUSLY DISCUSSED BUT SHORTLY AFTER THAT THE CLIENT CLAIMS HE RECEIVED STATEMENTS OF HIS INVESTMENTS AND THERE WERE LOSSES. THE CLIENT CLAIMS HE TOLD THE FINANCIAL ADVISOR THAT HE WAS NERVOUS ABOUT THE "ONE SIDED DECISION MAKING WITH" HIS MONEY AND THE FINANCIAL ADVISOR STATED THAT HE THOUGHT THEY HAD DISCUSSED THE INVESTMENTS. THE CLIENT CLAIMS THE FINANCIAL ADVISOR TOLD HIM THE LOSSES ON HIS STATEMENT WERE NOT AS MUCH AS THE STATEMENT SHOWED AND THAT HE WOULD REVIEW THE STATEMENTS WITH THE CLIENT. THE CLIENT CLAIMS THE FINANCIAL ADVISOR THEN TOLD HIM HE WOULD SEND HIM A FORM TO SIGN WHICH WAS TO "SHIFT FROM SOME LOCAL INVESTMENTS IN ARIZONA TO SOMETHING IN NEW YORK". THE CLIENT FEELS HE IS BEING POORLY SERVED BY THE FINANCIAL ADVISOR AS THERE WAS NO PERMISSION GIVEN FOR THE INVESTMENTS AND FEEL THE FINANCIAL



ADVISOR IS TRYING TO COVER HIMSELF WITH THE FORMS THE CLIENT WAS ASKED TO COMPLETE. THE CLIENT REQUESTS THAT HIS ACCOUNT BE RESTORED TO THE INITIAL VALUE. LOSSES INCURRED EXCEED \$5,000.

**Product Type:** Mutual Fund

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

**Alleged Damages Amount Explanation (if amount not exact):** ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5,000

**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:** 06/22/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/09/2010

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

OUR REVIEW HAS REVEALED THAT \$50,000 OF THE ASSETS WERE REQUESTED TO BE ISSUED OUT BY THE CLIENT. BASED ON DISCUSSIONS WITH THE FINANCIAL ADVISOR, THE CLIENT RECOMMENDATIONS WERE MADE FOR THE REMAINDER OF THE FUNDS WHEN THEY BECAME AVAILABLE. THE FINANCIAL ADVISOR CONTACTED THE CLIENT ON 4/26/10, WHEN THE FUNDS BECAME AVAILABLE, AND REVIEWED AND CONFIRMED THE TRADES AND THE TRADES WERE PLACED. A SWITCH LETTER WAS SENT TO THE CLIENT WITH THE ESTIMATED DOLLAR AMOUNT FILLED OUT AS WELL AS THE SUBSEQUENT PURCHASE. THE SECTION INDICATING WHY THE CHANGES WERE TAKING PLACE WAS LEFT BLANK SO THE CLIENT COULD FILL IN HIS REASONING FOR THE CHANGES. OUR INVESTIGATION REFLECTS RECOMMENDATIONS WERE MADE BASED ON INFORMATION PROVIDED BY THE CLIENT. WHEN THE FUNDS WERE AVAILABLE THE TRADES WERE CONFIRMED. IN ADDITION, TRADE CONFIRMS WOULD HAVE BEEN RECEIVED AT THE TIME OF PURCHASE. CLAIM DENIED.

## End of Report



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