

BrokerCheck Report

GENE EDWARD DOOLEY

CRD# 5714176

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 9



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



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.

GENE E. DOOLEY

CRD# 5714176

Currently employed by and registered with the following Firm(s):**IA STEWARD PARTNERS INVESTMENT ADVISORY, LLC**

805 Las Cimas Parkway
Suite 130
Austin, TX 78746
CRD# 283004

Registered with this firm since: 07/29/2019

B STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC

807 LAS CIMAS PKWY
SUITE 325
AUSTIN, TX 78746
CRD# 1254

Registered with this firm since: 05/27/2022

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
- 14 U.S. states and territories

This broker has passed:

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

Registration History

This broker was previously registered with the following securities firm(s):**B RAYMOND JAMES FINANCIAL SERVICES, INC.**

CRD# 6694
AUSTIN, TX
07/2019 - 05/2022

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

CRD# 7691
AUSTIN, TX
02/2012 - 07/2019

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

CRD# 7691
NEW YORK, NY
02/2012 - 07/2019

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 14 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT ADVISORY, LLC**

Main Office Address: **400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512**

Firm CRD#: **283004**

U.S. State/ Territory	Category	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	01/06/2023
IA Texas	Investment Adviser Representative	Approved	07/29/2019

Branch Office Locations

400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512

805 Las Cimas Parkway
Suite 130
Austin, TX 78746

AUSTIN, TX

Employment 2 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC**

Main Office Address: **15495 SW SEQUOIA PARKWAY
SUITE 150
PORTLAND, OR 97224**

Broker Qualifications



Employment 2 of 2, continued

Firm CRD#: 1254

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	05/27/2022
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	05/27/2022
B California	Agent	Approved	05/27/2022
B Colorado	Agent	Approved	05/27/2022
B Florida	Agent	Approved	05/28/2022
B Georgia	Agent	Approved	05/27/2022
B Illinois	Agent	Approved	05/27/2022
B Louisiana	Agent	Approved	05/27/2022
B Michigan	Agent	Approved	05/27/2022
B New Jersey	Agent	Approved	05/27/2022
B New Mexico	Agent	Approved	05/27/2022
B New York	Agent	Approved	05/27/2022
B Tennessee	Agent	Approved	01/05/2024
B Texas	Agent	Approved	05/27/2022
B Utah	Agent	Approved	06/24/2022

Branch Office Locations

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
 807 LAS CIMAS PKWY
 SUITE 325
 AUSTIN, TX 78746

Broker Qualifications



Employment 2 of 2, continued

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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	12/16/2010
B General Securities Representative Examination	Series 7	11/09/2009

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/01/2009

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
B 07/2019 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	AUSTIN, TX
B 02/2012 - 07/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	AUSTIN, TX
IA 02/2012 - 07/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	AUSTIN, TX
IA 12/2009 - 02/2012	MORGAN STANLEY SMITH BARNEY LLC	149777	AUSTIN, TX
B 11/2009 - 02/2012	MORGAN STANLEY SMITH BARNEY	149777	AUSTIN, TX

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
05/2022 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	REGISTERED REPRESENTATIVE	Y	AUSTIN, TX, United States
07/2019 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	EMPLOYEE	N	AUSTIN, TX, United States
07/2019 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	AUSTIN, TX, United States
07/2019 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	AUSTIN, TX, United States
03/2012 - 07/2019	BANK OF AMERICA N.A	FINANCIAL ADVISOR	Y	AUSTIN, TX, United States
02/2012 - 07/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	AUSTIN, TX, 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) Name of Business : Steward partners global Advisory

Address: 807 Las Cimas Pkwy Ste 325,Austin, TX

Nature of the Business: Non-variable Insurance

Position/Title: Agent

Investment Related:Yes

Start Date: 07/26/2019

Hours per month devoted to this business: 0

Hours per month devoted to this business during trading hours: 0

Description of duties: financial advisor/agent

2) STEWARD PARTNERS INVESTMENT ADVISORY,LLC:INVESTMENT RELATED:7/2019-PRESENT:AUSTIN, TX:IAR:INDEPENDENT RIA:0 HRS/MO:0 HRS DURING TRADING:INVESTMENT ADVISOR REPRESENTATIVE.

3) OWL ROCK TECHNOLOGY FINANCE CORP.INVESTMENT RELATED:12/2018-PRESENT:NEW YORK, NY:INVESTOR:BUSINESS DEVELOPEMENT COMPANY:0 HRS/MO:0 HRS DURING TRADING:INVESTOR.

4) THORNBURG INVESTMENT MANAGEMENT:NOT INVESTMENT RELATED:2018-PRESENT:SANTA FE, NM:ADVISORY COUNCIL COMMITTEE MEMBER:INVESTMENT MANAGEMENT FIRM:1/2 HR/MO:3 HRS/YEAR DURING TRADING:ONE TO TWO MEETINGS/YEAR.PROVIDE STRATEGY FROM AN ADVISOR STANDPOINT AS TO HOW THORNBURG CAN IMPROVE THEIR COMPANY.

5) SETON 50:2018-PRESENT:NOT INVESTMENT RELATED:AUSTIN, TX:MEMBER:NON-PROFIT HOSPITAL:1/2 HR/MO:3 HRS/YEAR DURING TRADING:RAISE AWARENESS AND FUND RAISING FOR NON-PROFIT TEACHING HOSPITAL, DELL SETON MEDICAL CENTER.

6) GENE DOOLEY CHARITABLE REMAINDER TRUST:2010-PRESENT:AUSTIN, TX:BENEFICIARY:INVESTMENT S:1 HR/MO:1 HR DURING TRADING:TRUSTEE & BENEFICIARY.

7) LYNN DOOLEY CHILDRENS DISCRETIONARY B TRUST FOR GENE DOOLEY:07/2019-PRESENT:AUSTIN, TX:TRUSTEE:INVESTMENTS:2HRS/MO:2 HRS DURING TRADING:TRUSTEE/BENEFICIARY.

8) LYNN DOOLEY DISCRETIONARY B TRUST FOR BRIAN DOOLEY:07/2019-PRESENT:AUSTIN, TX:TRUSTEE:1 HR/MO:1 HRS DURING TRADING. BROTHER OF GENE DOOLEY.

9) RESIDUARY DISCRETIONARY TRUST FOR LYNN DOOLEY:2010-PRESENT:AUSTIN, TX:1 HR/MO:1 HRS DURING TRADING.MOTHER OF GENE DOOLEY.

10) EUGENE DISCRETIONARY B TRUST FOR LYNN DOOLEY:2010-PRESENT:AUSTIN, TX:1 HR/MO:1 HRS DURING TRADING. MOTHER OF GENE DOOLEY.

11)Name of Business : Family Holdings Discretionary Trust for Lynn Dooley

Registration and Employment History



Other Business Activities, continued

Address: 807 Las Cimas Pkwy Ste 325, Austin, TX

Nature of the Business: Trustee

Position/Title: Trustee

Investment Related: Yes

Start Date: 07/26/2019

Hours per month devoted to this business: 1

Hours per month devoted to this business during trading hours: 1

Description of duties: co-trustee

12) The Dooley Group.

Address: Austin, TX

Nature of the Business: Support Company/DBA (Owner)

Position/Title: Support Company/DBA (Owner)

Investment Related: No

Start Date: 07/26/2019

Hrs per month: 0

Hrs per month during trading hrs: 0

Description of duties: Financial Advisor.

13) Residuary Discretionary Trust for Lynn Dooley

Address: Austin, TX

Nature of the Business: Trustee

Position/Title: Trustee

Investment Related: Yes

Start Date: 07/26/2019

Hrs per month: 1

Hrs per month during trading hrs: 1

Description of duties: co-trustee.

End of Report



This page is intentionally left blank.