



IAPD Report

Eric Fred Bachinsky

CRD# 1002854

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Eric Fred Bachinsky (CRD# 1002854)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/10/2006
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/10/2006

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **26** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	ROBERT W. BAIRD & CO. INCORPORATED	8158	PALM BEACH GARDENS, FL	04/28/1998 - 03/24/2006
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	PALM BEACH GARDENS, FL	04/22/1998 - 03/24/2006
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	MILWAUKEE, WI	01/11/2002 - 03/01/2004

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **26** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

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

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

Firm ID#: 705

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/10/2006
	FINRA	General Securities Sales Supervisor	Approved	03/10/2006
	Investors' Exchange LLC	General Securities Representative	Approved	06/23/2025
	MEMX LLC	General Securities Representative	Approved	06/23/2025
	MEMX LLC	General Securities Sales Supervisor	Approved	06/23/2025
	NYSE American LLC	General Securities Representative	Approved	03/10/2006
	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
	NYSE Arca, Inc.	General Securities Representative	Approved	06/23/2025
	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/23/2025
	NYSE Texas, Inc.	General Securities Representative	Approved	06/23/2025
	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/23/2025
	Nasdaq PHLX LLC	General Securities Representative	Approved	03/10/2006
	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/10/2006



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	03/10/2006
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	07/18/2024
B	Arizona	Agent	Approved	01/13/2020
B	California	Agent	Approved	03/10/2006
B	Colorado	Agent	Approved	03/13/2006
B	Connecticut	Agent	Approved	03/27/2006
B	District of Columbia	Agent	Approved	01/21/2021
B	Florida	Agent	Approved	03/13/2006
IA	Florida	Investment Adviser Representative	Approved	04/10/2006
B	Georgia	Agent	Approved	03/10/2006
B	Indiana	Agent	Approved	01/22/2021
B	Maine	Agent	Approved	03/27/2006
B	Maryland	Agent	Approved	03/14/2006
B	Michigan	Agent	Approved	03/27/2006
B	Mississippi	Agent	Approved	03/15/2006
B	Nevada	Agent	Approved	03/25/2011



Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	03/14/2011
B	New Jersey	Agent	Approved	03/10/2006
B	New Mexico	Agent	Approved	01/19/2023
B	New York	Agent	Approved	03/21/2006
B	North Carolina	Agent	Approved	03/27/2006
B	Ohio	Agent	Approved	03/14/2011
B	Pennsylvania	Agent	Approved	03/28/2006
B	South Carolina	Agent	Approved	03/29/2006
B	Texas	Agent	Approved	03/24/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	08/07/2018
B	Vermont	Agent	Approved	01/30/2023
B	Virginia	Agent	Approved	03/27/2006
B	Washington	Agent	Approved	03/11/2011

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
Minneola, FL



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/26/2000
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/17/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	12/01/2006
B General Securities Representative Examination (S7)	Series 7	07/18/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/1981



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/28/1998 - 03/24/2006	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	PALM BEACH GARDEN:
B	04/22/1998 - 03/24/2006	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	PALM BEACH GARDEN:
B	01/11/2002 - 03/01/2004	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI
B	09/15/1992 - 04/23/1998	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/25/1989 - 09/08/1992	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/24/1981 - 08/25/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2006 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Registered Associate	Y	Clermont, FL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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: ekb stables llc Address: 4352 n san andros, wpb, FL, 33411, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 04/30/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: buying racehorses



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	The attorney for the estate alleges unsuitable investments. Alleged Activity Dates: 11/11/2011 - 7/30/2019.
Product Type:	Other: Warrants
Alleged Damages:	\$228,465.26
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:	03/17/2020
Complaint Pending?	No
Status:	Denied
Status Date:	07/28/2020
Settlement Amount:	
Individual Contribution Amount:	

**Disclosure 2 of 5**

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES: NEGLIGENCE; MISREPRESENTATION; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY. ACTIVITY DATES: 1/2007 THRU 10/31/2011

Product Type: Other: NOT SPECIFIED

Alleged Damages: \$80,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA - BOCA RATON

Docket/Case #: 11-04047

Filing date of arbitration/CFTC reparation or civil litigation: 10/25/2011

Customer Complaint Information

Date Complaint Received: 11/04/2011

Complaint Pending? No

Status: Settled

Status Date: 05/25/2012

Settlement Amount: \$24,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Individual

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 \$15,000 OR MORE** POOR RECOMMEND/POOR ADVISE - ACTIVITY DATES ARE FROM 5/02/06 THRU 2/12/09. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN EXCESS OF \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

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: 02/12/2009

Complaint Pending? No

Status: Denied

Status Date: 04/15/2009

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 \$15,000 OR MORE**

Disclosure 4 of 5

Reporting Source: Regulator

Employing firm when
activities occurred which led
to the complaint: PAINWEBBER, INC.

Allegations: ACCOUNT RELATED-NEGLIGENCE;
MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE;
BRCH
OF FIDUCIARY DT

Product Type:

Alleged Damages: \$204,000.00

Arbitration Information

Arbitration/Reparation Claim
filed with and Docket/Case
No.: UNKNOWN - CASE #96-00114

Date Notice/Process Served: 01/17/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/10/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY; OTHER COSTS, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT
JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
OTHER MONETARY RELIEF, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC,



AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES,
RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER, INC.

Allegations: WHILE EMPLOYED WITH PAINWEBBER CUSTOMER ALLEGED NEGLIGENCE, COMMON LAW AND SECURITIES FRAUD BREACH OF FIDUCIARY DUTY AND BREACH OF CONTRACT, INVOLVING THREE PAINWEBBER GOVERNMENT BOND MUTUAL FUNDS PURCHASED IN 1993 AND 1994. CUSTOMER ALLEGED DAMAGES OF \$204,000.

Product Type:

Alleged Damages: \$204,000.00

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.: National Assoc. of Securities Dealers; 96-00114

Date Notice/Process Served: 01/17/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/10/1996

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIMANT DISMISSED ALL CLAIMS AGAINST MR. BACHINSKY AND PAINE WEBBER SETTLED FOR \$100,000.00 FOR BUSINESS REASONS. MR. BACHINSKY DID HAVE PRIOR KNOWLEDGE OF SETTLEMENT OR GAVE CONSENT. MR. BACHINSKY WAS NOT ASKED TO CONTRIBUTE TO SETTLEMENT.
A QUALIFIED AND EXPERIENCED CLIENT FILED FOR



ARBITRATION REGARDING PERFORMANCE OF 3 PAINE WEBBER INCOME FUNDS, ONE OF WHICH HAD ALREADY PAID HIM A .06 CENT PER SHARE SETTLEMENT WHICH HE ACCEPTED. THESE MUTUAL FUNDS WERE LARGELY PROVIDED ON A "NO LOAN" BASIS TO THE CLIENT. FOR BUSINESS REASONS PAINE WEBBER SETTLED THE CASE WITHOUT MR. BACHINSKY'S KNOWLEDGE OR CONSENT. HE WAS NOT ASKED TO PARTICIPATE IN THE SETTLEMENT.

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THOMPSON MCKINNON SECURITIES

Allegations:

Product Type:

Alleged Damages: \$80,000.00

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.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-02377

Date Notice/Process Served: 08/21/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/07/1991

Monetary Compensation Amount: \$24,000.00

Individual Contribution Amount: \$12,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THOMPSON MCKINNON SECURITIES

Allegations: WHILE EMPLOYED WITH PRUDENTIAL SECURITIES INCORPORATED, CLIENT ALLEGED \$80,000 IN LOSSES BUT ACTUALLY LOST \$50,000. CLIENT CLAIMED REEBOK STOCK PURCHASE WAS



UNSUITABLE ALSO CLAIMED MISMANAGEMENT OF ACCOUNT.

Product Type:

Alleged Damages: \$80,000.00

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.:** National Association of Securities Dealers, Inc.; 89-02377

Date Notice/Process Served: 08/21/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/07/1991

**Monetary Compensation
Amount:** \$24,000.00

**Individual Contribution
Amount:** \$12,000.00

Broker Statement SETTLEMENT AMOUNTED TO \$12,000 FROM MYSELF AND
\$12,000 FROM RONALD SELDENFRAU.
Not Provided



End of Report

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