## IAPD Report

# CARY ROBERT KLEINFIELD

CRD# 1040176



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

## CARY ROBERT KLEINFIELD (CRD# 1040176)

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 **05/29/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | RAYMOND JAMES FINANCIAL SERVICES, INC. | CRD# 6694 | 01/13/2015 |
| IA | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | 01/21/2015 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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 |
|---|---|---|---|---|
| B | RAYMOND JAMES & ASSOCIATES, INC. | 705 | FT. MYERS, FL | 02/14/1989 - 01/14/2015 |
| IA | RAYMOND JAMES & ASSOCIATES, INC. | 705 | FT. MYERS, FL | 02/14/1989 - 01/14/2015 |
| B | MARSHALL & CO. SECURITIES, INC. | 17942 | FT. MYERS, FL | 05/01/1987 - 02/27/1989 |

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 |
|---|---|
| Regulatory Event | 1 |

# 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 **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Florida | Investment Adviser Representative | Approved | 01/21/2015 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 05/29/2026 |

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
9726 COMMERCE CENTER COURT
SUITE 2
FORT MYERS, FL 33908

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 01/13/2015 |
| B | FINRA | General Securities Sales Supervisor | Approved | 01/13/2015 |
| B | Alabama | Agent | Approved | 01/13/2015 |
| B | Arizona | Agent | Approved | 01/13/2015 |
| B | Connecticut | Agent | Approved | 01/13/2015 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | District of Columbia | Agent | Approved | 04/25/2016 |
| B | Florida | Agent | Approved | 01/13/2015 |
| B | Georgia | Agent | Approved | 01/13/2015 |
| B | Illinois | Agent | Approved | 01/14/2015 |
| B | Indiana | Agent | Approved | 01/20/2015 |
| B | Kansas | Agent | Approved | 12/14/2023 |
| B | Maine | Agent | Approved | 01/16/2015 |
| B | Maryland | Agent | Approved | 01/13/2015 |
| B | Massachusetts | Agent | Approved | 01/30/2015 |
| B | Michigan | Agent | Approved | 06/06/2022 |
| B | Minnesota | Agent | Approved | 01/13/2015 |
| B | Missouri | Agent | Approved | 04/19/2023 |
| B | Montana | Agent | Approved | 04/16/2021 |
| B | Nebraska | Agent | Approved | 03/18/2024 |
| B | Nevada | Agent | Approved | 02/14/2023 |
| B | New Hampshire | Agent | Approved | 01/13/2015 |
| B | New Jersey | Agent | Approved | 01/13/2015 |
| B | New York | Agent | Approved | 01/13/2015 |
| B | North Carolina | Agent | Approved | 01/13/2015 |

 

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Ohio | Agent | Approved | 01/13/2015 |
| B | Oregon | Agent | Approved | 01/15/2015 |
| B | Rhode Island | Agent | Approved | 01/13/2015 |
| B | South Carolina | Agent | Approved | 02/05/2015 |
| B | Tennessee | Agent | Approved | 01/13/2015 |
| B | Texas | Agent | Approved | 01/14/2026 |
| B | Virginia | Agent | Approved | 01/13/2015 |
| B | Washington | Agent | Approved | 01/13/2015 |
| B | West Virginia | Agent | Approved | 10/18/2016 |
| B | Wisconsin | Agent | Approved | 03/29/2021 |
| B | Wyoming | Agent | Approved | 04/19/2021 |

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES**
9726 COMMERCE CENTER COURT
SUITE 2
FORT MYERS, FL  33908

# 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 2 state securities law exams.**

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 03/06/2014 |
| B | General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 11/19/2013 |

### 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 | 02/06/2004 |
| B | General Securities Representative Examination (S7) | Series 7 | 06/19/1982 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 11/24/1999 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/20/1982 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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 |
|---|---|---|---|---|
| B | 02/14/1989 - 01/14/2015 | RAYMOND JAMES & ASSOCIATES, INC. | CRD# 705 | FT. MYERS, FL |
| IA | 02/14/1989 - 01/14/2015 | RAYMOND JAMES & ASSOCIATES, INC. | CRD# 705 | FT. MYERS, FL |
| B | 05/01/1987 - 02/27/1989 | MARSHALL & CO. SECURITIES, INC. | CRD# 17942 | |
| B | 10/04/1985 - 03/23/1987 | THOMSON MCKINNON SECURITIES INC. | CRD# 829 | |
| B | 06/30/1982 - 01/06/1986 | FIRST JERSEY SECURITIES, INC. | CRD# 6621 | |

## 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 |
|---|---|---|---|---|
| 11/2021 - Present | Caribou Investments, LLC | Officer-President | Y | Fort Myers, FL, United States |
| 06/2018 - Present | PERSONAL CONDO RENTAL - ATLANTA, GEORGIA | PROPRIETOR/OWNER | N | FORT MYERS, FL, United States |
| 01/2015 - Present | RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC. | INVESTMENT ADVISER REP | Y | FORT MYERS, FL, United States |
| 01/2015 - Present | RAYMOND JAMES FINANCIAL SERVICES, INC. | FINANCIAL ADVISOR | Y | FORT MYERS, FL, United States |
| 06/2012 - Present | CARIBOU INVESTMENTS LLC | CEO, OFFICER-PRESIDENT, OFFICER-TREASURER | Y | FORT MYERS, FL, United States |
| 06/2012 - Present | Caribou Investments LLLC | Owner | N | Fort Myers, 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: Caribou Investments Llc Address: 14198 Reflection Lakes Drive, Fort Myers, FL, 33907, United States Activity Type: Business Owner Position/Title: Officer - Treasurer, Officer - CEO, Officer - President Investment Related: Yes Start Date: 06/27/2012 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours:

 

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

0-1 Description of duties: This is a 3 suite office. Suite 1 & 2 collect rent monthly from Kleinfield Wealth Group (my investment firm clears through RJFS) Suite 3 is rented with monthly rent collected. This is a realtor and unrelated to any business I conduct.
(2)Name of Business: Caribou Investments, LLC. Address: 9726 Commerce Center Court, Fort Myers, FL, 33908, United States Activity Type: Rental Real Estate Position/Title: Officer - President Investment Related: Yes Start Date: 11/16/2021 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Caribou is the holding real estate
(3)Name of Business: Deaf & Hard of Hearing Center Address: 1860 Boy Scout Drive Suite B208, Fort Myers, FL, 33907, United States Activity Type: Non profit Position/Title: Officer - President, Committee Member Investment Related: No Start Date: 11/13/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: UPDATE -\nELECTED TO OFFICE AS PRESIDENT. my role remains the same as listed below \nVice President - As an officer I am a signer on checks however I do NOT handle money. I will be attending fundraiser events from time to time such as dinners or events but I will not be soliciting clients or prospective clients for donations. By Laws and Evaluation committee - revising by laws and evaluating Executive Director
(4)Name of Business: Kleinfield Wealth Group, LLC. Address: 9726 Commerce Center Ct Ste 2, Fort Myers, FL, 33908, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/13/2015 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 11-20 Description of duties: Kleinfield Wealth Group, LLC. D/B/A

# 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 |
|---|---|
| Regulatory Event | 1 |

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | STATE OF MICHIGAN - SECURITIES DIVISION |
| **Sanction(s) Sought:** | |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 12/27/1989 |
| **Docket/Case Number:** | Unknown |
| **Employing firm when activity occurred which led to the regulatory action:** | RAYMOND, JAMES & ASSOCIATES, INC |
| **Product Type:** | |
| **Other Product Type(s):** | |
| **Allegations:** | WAS ISSUED AN ORDER TO REVOKE REGISTRATION FOR FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15. |
| **Current Status:** | Final |
| **Resolution:** | Decision |
| **Resolution Date:** | 03/06/1990 |
| **Sanctions Ordered:** | Revocation/Expulsion/Denial |
| **Other Sanctions Ordered:** | |
| **Sanction Details:** | ORDER TO REVOKE REGISTRATION ISSUED |
| **Broker Statement** | MR. KLEINFIELD'S FORMER EMPLOYER, MARSHALL & CO. |

 

SECURITIES, INC., REQUESTED REGISTRATION FOR HIM AS AN AGENT IN THE STATE OF MICHIGAN, AUGUST 16, 1988, UN-BEKNOWING TO HIM. MR. KLEINFIELD HAS NEVER HAD ANY CLIENTS IN MICHIGAN, NEVER DID ANY BUSINESS IN MICHIGAN AND NEVER REQUESTED MICHIGAN REGISTRATION.
MARSHALL & CO. SECURITIES, INC. HAS SINCE GONE OUT OF BUSINESS. MR. KLEINFIELD AND HIS PRESENT EMPLOYER, RAYMOND JAMES & ASSOCIATES, INC. BOTH CONTACTED THE STATE OF MICHIGAN AND WAS WILLING TO PAY THE $15 IN HOPES THAT THEY WOULD PULL THE ORDER TO AVOID HAVING TO DISCLOSE THIS INCIDENT ON HIS FORM U-4, WITHOUT SUCCESS. MR. KLEINFIELD NEVER RECEIVED NOTIFICATION FROM
THE STATE THAT THE BALANCE OF THE 1989 RENEWAL FEE WAS DUE, NOR
WAS HE EVER CONTACTED BY HIS FORMER EMPLOYER WITH REFERENCE TO
THIS MATTER.

# End of Report

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