



IAPD Report

RAYMOND FREDERICH SALEEBY JR

CRD# 1052428

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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

RAYMOND FREDERICH SALEEBY JR (CRD# 1052428)

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 **10/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	05/16/2025
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	05/16/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	CUTTER & COMPANY, INC.	22449	ST. LOUIS, MO	01/01/2002 - 05/16/2025
B	CUTTER & COMPANY, INC.	22449	ST. LOUIS, MO	04/02/2001 - 05/16/2025
B	FORSYTH SECURITES, INC.	16323	KIRKWOOD, MO	01/08/1987 - 04/30/2001

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

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/16/2025
B FINRA	General Securities Representative	Approved	05/16/2025
B FINRA	Investment Banking Principal	Approved	05/16/2025
B FINRA	Investment Banking Representative	Approved	05/16/2025
B Arizona	Agent	Approved	05/16/2025
B Arkansas	Agent	Approved	05/16/2025
B California	Agent	Approved	05/16/2025
B Colorado	Agent	Approved	05/16/2025
B Connecticut	Agent	Approved	05/16/2025
B District of Columbia	Agent	Approved	05/16/2025
B Florida	Agent	Approved	05/16/2025
IA Florida	Investment Adviser Representative	Approved	05/16/2025
B Georgia	Agent	Approved	05/16/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	05/16/2025
B Illinois	Agent	Approved	05/16/2025
B Indiana	Agent	Approved	05/16/2025
B Iowa	Agent	Approved	05/16/2025
B Kansas	Agent	Approved	05/16/2025
B Kentucky	Agent	Approved	05/16/2025
B Maryland	Agent	Approved	05/16/2025
B Massachusetts	Agent	Approved	05/16/2025
B Michigan	Agent	Approved	05/16/2025
B Minnesota	Agent	Approved	05/16/2025
B Missouri	Agent	Approved	05/16/2025
IA Missouri	Investment Adviser Representative	Approved	05/16/2025
B Nebraska	Agent	Approved	05/16/2025
B Nevada	Agent	Approved	05/16/2025
B New Hampshire	Agent	Approved	05/16/2025
B New Jersey	Agent	Approved	05/16/2025
B New York	Agent	Approved	05/16/2025
B North Carolina	Agent	Approved	05/16/2025
B Ohio	Agent	Approved	05/16/2025



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	05/16/2025
B Oregon	Agent	Approved	07/02/2025
B Pennsylvania	Agent	Approved	06/27/2025
B South Carolina	Agent	Approved	05/16/2025
B Tennessee	Agent	Approved	05/16/2025
B Texas	Agent	Approved	05/16/2025
IA Texas	Investment Adviser Representative	Restricted Approval	05/16/2025
B Virginia	Agent	Approved	05/16/2025
B Washington	Agent	Approved	05/16/2025
B Wisconsin	Agent	Approved	05/16/2025

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
11301 OLIVE BLVD
ST. LOUIS, MO 63141

PROSPERA FINANCIAL SERVICES, INC.
Boca Raton, 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/17/1989

General Industry/Product Exams

Exam	Category	Date
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/19/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/26/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/1982

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	01/01/2002 - 05/16/2025	CUTTER & COMPANY, INC.	CRD# 22449	ST. LOUIS, MO
B	04/02/2001 - 05/16/2025	CUTTER & COMPANY, INC.	CRD# 22449	ST. LOUIS, MO
B	01/08/1987 - 04/30/2001	FORSYTH SECURITES, INC.	CRD# 16323	KIRKWOOD, MO
B	06/24/1982 - 02/20/1987	R. ROWLAND & CO., INCORPORATED	CRD# 911	

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
05/2025 - Present	PROSPERA FINANCIAL SERVICES, INC.	Registered Representative	Y	ST. LOUIS, MO, United States
04/2001 - 05/2025	CUTTER AND COMPANY BROKERAGE, INC.	REGISTERED REPRESENTATIVE	Y	CHESTERFIELD, MO, 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)11301 OLIVE LLC,NOT INVESTMENT RELATED,11301 OLIVE BLVD ST. LOUIS, MO 63141, REAL ESTATE, OWNER, OCTOBER 2012, 3-4 HOURS PER MONTH MOST DURING TRADING HOURS, DUTIES INCLUDE BUT NOT LIMITED TO LEASING PROPERTY/MANAGER.
- 2)SALEEBY & ASSOCIATES, INC. YES INVESTMENT RELATED, 11301 OLIVE BLVD CREVE COEUR, MO 63141, FINANCIAL SERVICES, PRESIDENT, 40-60 HOURS PER WEEK ALL DURING TRADING HOURS.
- 3)CONSIGNMENT SALES (EBAY)/2 HRS PER WEEK/ITEMS FOR SALE POSTED BY STAFF POSSIBLY DURING BUSINESS HOURS/NOT INVESTMENT RELATED
- 4)DBA: RAYMOND SALEEBY/LICENSE AN INVENTION (AWAITING PATENT BEFORE COMMENCING)/2 HRS OR LESS PER WEEK DURING BUSINESS HOURS WILL POSSIBLY START IN YEAR 2021/NOT INVESTMENT RELATED/9801 LOG CABIN CT, ST. LOUIS, 63124/OWNER OF INVENTION/WILL POSSIBLY SELL THIS PRODUCT TO THE PUBLIC IN THE FUTURE.
- 5)DBA: RAY SALEEBY TRUST OR 3201 NE 27TH AVENUE LLC./NOT INVESTMENT RELATED/11301 OLIVE BLVD, 63141/ART & COLLECTABLE, BUY & SELL FOR FAMILY/CO-OWNER WITH WIFE, JACKIE SALEEBY TTEE/ 1.1.2021 START DATE/2-3 HRS PER WEEK POSSIBLY DURING TRADING HOURS/WRITE CHECKS, ANSWER CALLS-EMAILS, BUY ART



Registration & Employment History



OTHER BUSINESS ACTIVITIES

AND COLLECTIBLES.



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: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/07/1988

Docket/Case Number: KC427

Employing firm when activity occurred which led to the regulatory action: FORSYTH SECURITIES INC

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 05/26/1989

Sanctions Ordered: Censure
Monetary/Fine \$700.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT NUMBER KC-427 (DISTRICT NO. 4) FILED OCTOBER 7, 1988 AGAINST RESPONDENTS FORSYTH SECURITIES, INC., HUGH VINCENT



MURRAY, III, RAYMOND FREDERICH SALEEBY, JR. AND MICHAEL STEVEN MORGAN ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 21 AND 27(c) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS MURRAY, MORGAN AND SALEEBY, SOLD LIMITED PARTNERSHIP UNITS ON A BEST EFFORTS "PART OR NONE" BASIS AND FAILED TO PROMPTLY TRANSMIT INVESTOR FUNDS TO A SEPARATE ESCROW, AGENCY OR TRUST ACCOUNT; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MURRAY, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ADEQUATE MINIMUM NET CAPITAL; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MURRAY, FAILED TO REVIEW AND ENDORSE IN WRITING, ON AN INTERNAL RECORD OF RESPONDENT MEMBER, THE SALES TRANSACTIONS TO REFLECT SUPERVISORY REVIEW; AND FAILED TO PREPARE AND MAINTAIN A BLOTTER OR EQUIVALENT RECORD REFLECTING THE DATES ON WHICH CASH WAS RECEIVED BY RESPONDENT MEMBER FROM PURCHASERS OF UNITS IN THE LIMITED PARTNERSHIP.

DECISION RENDERED MAY 26, 1989, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS WAS ACCEPTED; THEREFORE, THE FIRST FOUR CAUSES CONCERNING RULE 15c2-4, NET CAPITAL, SUPERVISION AND BOOKS AND RECORDS ARE DISMISSED; AND, RESPONDENTS MEMBER, MURRAY, SALEEBY AND MORGAN ARE CENSURED AND FINED \$700.00, JOINTLY AND SEVERALLY. ***** \$700 PAID J&S ON 6/9/89.

Reporting Source: Individual

Regulatory Action Initiated By: NASD KC OFFICE

Sanction(s) Sought: Censure

Other Sanction(s) Sought: \$700 FINE

Date Initiated: 10/07/1988

Docket/Case Number: KC427

Employing firm when activity occurred which led to the regulatory action: FORSYTH SECURITIES INC

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: THAT FORSYTH SEC, THE FIRM RAY SALEEBY IS ASSOCIATED WITH, AND RAY SALEEBY FAILED TO HAVE AN EXCHANEG OF LETTERS REQUIRED BY ART III. SEC 40 OF NASD RULES REGARDING A PRIVATE PLACEMENT SALEEBY DID AWAY FROM THE FIRM.

Current Status: Final

Resolution: Consent

Resolution Date: 05/26/1989



Sanctions Ordered: Censure
Monetary/Fine \$700.00

Other Sanctions Ordered:

Sanction Details: THE NASD ACCEPTED THE \$700 AND WERE CENSURED.



End of Report

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