



IAPD Report

TERRY A MCCORMICK

CRD# 1110706

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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

TERRY A MCCORMICK (CRD# 1110706)

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 **04/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	06/22/2007
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	WEST DES MOINES, IA	06/28/2007 - 01/02/2009
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	WEST DES MOINES, IA	01/01/1999 - 06/27/2007
B	RAYMOND JAMES & ASSOCIATES, INC.	705	WEST DES MOINES, IA	03/18/1998 - 06/27/2007

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	2



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

Employment 1 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	06/22/2007
B FINRA	General Securities Sales Supervisor	Approved	06/22/2007
B Arizona	Agent	Approved	06/22/2007
B California	Agent	Approved	06/22/2007
B Colorado	Agent	Approved	06/22/2007
B Florida	Agent	Approved	06/22/2007
B Hawaii	Agent	Approved	10/19/2021
B Illinois	Agent	Approved	06/22/2007
B Iowa	Agent	Approved	06/22/2007
B Minnesota	Agent	Approved	06/22/2007
B Missouri	Agent	Approved	06/22/2007
B Montana	Agent	Approved	12/12/2023
B Nebraska	Agent	Approved	09/19/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	09/16/2009
B Texas	Agent	Approved	08/20/2014

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
West Des Moines, IA

RAYMOND JAMES FINANCIAL SERVICES
1415 28th St
Ste 160
West Des Moines, IA 50266

RAYMOND JAMES FINANCIAL SERVICES
Scottsdale, AZ

Employment 2 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 Iowa	Investment Adviser Representative	Approved	01/02/2009
IA Texas	Investment Adviser Representative	Restricted Approval	08/14/2019

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1415 28th St
Ste 160
West Des Moines, IA 50266

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
Scottsdale, AZ

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
West Des Moines, IA





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, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/28/2005
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/23/2005

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	07/27/2005
 National Commodity Futures Examination (S3)	Series 3	05/27/1983
 General Securities Representative Examination (S7)	Series 7	04/16/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1983

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	06/28/2007 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	WEST DES MOINES, IA
IA	01/01/1999 - 06/27/2007	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WEST DES MOINES, IA
B	03/18/1998 - 06/27/2007	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WEST DES MOINES, IA
B	08/18/1992 - 04/28/1998	PRINCIPAL FINANCIAL SECURITIES, INC.	CRD# 260	DALLAS, TX
B	04/19/1988 - 08/24/1992	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	03/07/1988 - 09/09/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	04/19/1983 - 03/07/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	West Des Moines, IA, United States
06/2007 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	West Des Moines, IA, 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: TRKR Investments LLC Address: 1415 28th St Ste 160, West Des Moines, IA, 50266-1450, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 04/01/2026 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: I am the Control Person/Member of TRKR Investments LLC,\nRJ account [REDACTED], Office -70X, created the LLC entity for tax and liability reasons.



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	2

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 2

Reporting Source: Individual

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

Allegations: NEGLIGENT SUPERVISION, BREACH OF FIDUCIARY DUTY, OVER CONCENTRATION, EXCESSIVE MARGIN, EXCESSIVE TRADING, SUITABILITY, NEGLIGENCE, MISREPRESENTATION, CONSTRUCTIVE FRAUD, VIOLATIONS OF THE IOWA SECURITEIS ACT, BREACH OF CONTRACT

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITIES - OTC, MARGIN/STOCK LOAN

Alleged Damages: \$5,556,770.00

Customer Complaint Information

Date Complaint Received: 08/22/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/22/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim NASD - CHICAGO



filed with and Docket/Case No.: CASE# 05-03574

Date Notice/Process Served: 08/22/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/08/2006

Monetary Compensation Amount: \$770,000.00

Individual Contribution Amount: \$42,000.00

Broker Statement RAYMOND JAMES AND FINANCIAL ADVISOR DENY ALL ALLEGATIONS AND WRONGDOING. THE CLAIM IS BASELESS AND CONTRIVED, IS FULL OF MISCHARACTERIZATIONS, HALF TRUTHS AND FALSE ALLEGATIONS AND IS OBJECTIVELY BELIED BY THE FACTS AND SUPPORTING EVIDENCE. RESPONDENTS REQUEST THAT THE ACTION BE DISMISSED AND THAT THEY BE AWARDED THEIR COSTS AND ATTORNEY'S FEE.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER

Allegations: CUSTOMER ALLEGED THAT BONDS IN HIS ACCOUNT WERE SOLD WITHOUT HIS AUTHORIZATION. NO AMOUNT OF DAMAGES WERE SPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 6299-57480

Date Notice/Process Served: 08/26/1992

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/06/1993

Monetary Compensation Amount: \$16,200.00

**Individual Contribution
Amount:****Firm Statement**

CASE WAS SETTLED FOR \$16K PLUS COURT COSTS
ESTIMATED AT \$200.
DEAN WITTER AND MCCORMICK CONTINUE TO DENY ALL
ALLEGATIONS MADE BY [CUSTOMER] AT ALL TIMES MR. MCCORMICK
FOLLOWED [CUSTOMER] INSTRUCTIONS AND [CUSTOMER] DID
AUTHORIZE
THE SALE OF HIS BONDS. THE CASE WAS SETTLED TO AVOID THE COST
AND RISKS ASSOCIATED WITH LITIGATION.

Reporting Source:

Individual

**Employing firm when
activities occurred which led
to the complaint:**

DEAN WITTER

Allegations:

CUSTOMER ALLEGED THAT BONDS IN HIS ACCOUNT
WERE SOLD WITHOUT HIS AUTHORIZATION. NO AMOUNT OF DAMAGES
WERE
SPECIFIED.

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

Status:

Litigation

Status Date:**Settlement Amount:****Individual Contribution
Amount:****Civil Litigation Information****Court Details:**

6299-57480

Date Notice/Process Served:

08/26/1992

Litigation Pending?

No

Disposition:

Settled

Disposition Date:

08/06/1993

**Monetary Compensation
Amount:**

\$16,200.00

**Individual Contribution
Amount:****Broker Statement**

CASE WAS SETTLED FOR \$16K PLUS COURT COSTS
ESTIMATED AT \$200.00.
DEAN WITTER AND MCCORMICK CONTINUE TO DENY ALL
ALLEGATIONS MADE BY [CUSTOMER]. AT ALL TIMES MR MCCORMICK
FOLLOWED [CUSTOMER'S] INSTRUCTIONS AND [CUSTOMER] DID
AUTHORIZE



THE SALE OF HIS BONDS. THE CASE WAS SETTLED TO AVOID THE COST AND RISKS ASSOCIATED WITH LITIGATION.



End of Report

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