



## IAPD Report

# KEN HALL BARNETT

CRD# 1140778

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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

### KEN HALL BARNETT (CRD# 1140778)

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 **04/13/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/09/2026
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/09/2026

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **29** 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>B</b>	STEPHENS	3496	RIDGELAND, MS	06/01/2009 - 04/13/2026
<b>IA</b>	STEPHENS	3496	RIDGELAND, MS	06/01/2009 - 04/13/2026
<b>B</b>	WELLS FARGO ADVISORS, LLC	19616	RIDGELAND, MS	01/01/2008 - 06/02/2009

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 **29** 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
<b>B</b> FINRA	General Securities Representative	Approved	04/09/2026
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	04/09/2026
<b>B</b> MEMX LLC	General Securities Representative	Approved	04/09/2026
<b>B</b> NYSE American LLC	General Securities Representative	Approved	04/09/2026
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	04/09/2026
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	04/09/2026
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	04/09/2026
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	04/09/2026
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	04/09/2026
<b>B</b> Alabama	Agent	Approved	04/15/2026
<b>B</b> Arkansas	Agent	Approved	04/09/2026
<b>B</b> California	Agent	Approved	04/09/2026
<b>B</b> Colorado	Agent	Approved	04/09/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Connecticut	Agent	Approved	04/09/2026
<b>B</b> Delaware	Agent	Approved	04/14/2026
<b>B</b> District of Columbia	Agent	Approved	04/09/2026
<b>B</b> Florida	Agent	Approved	04/09/2026
<b>B</b> Georgia	Agent	Approved	04/09/2026
<b>B</b> Illinois	Agent	Approved	04/09/2026
<b>B</b> Kentucky	Agent	Approved	04/09/2026
<b>B</b> Louisiana	Agent	Approved	04/09/2026
<b>B</b> Massachusetts	Agent	Approved	04/16/2026
<b>B</b> Michigan	Agent	Approved	04/09/2026
<b>B</b> Mississippi	Agent	Approved	04/09/2026
<b>IA</b> Mississippi	Investment Adviser Representative	Approved	04/09/2026
<b>B</b> Missouri	Agent	Approved	04/13/2026
<b>B</b> Nevada	Agent	Approved	04/13/2026
<b>B</b> New Jersey	Agent	Approved	04/09/2026
<b>B</b> New York	Agent	Approved	04/09/2026
<b>B</b> North Carolina	Agent	Approved	04/14/2026
<b>B</b> Oklahoma	Agent	Approved	04/14/2026
<b>B</b> Pennsylvania	Agent	Approved	04/09/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Rhode Island	Agent	Approved	04/13/2026
<b>B</b> South Carolina	Agent	Approved	04/15/2026
<b>B</b> Tennessee	Agent	Approved	04/09/2026
<b>B</b> Texas	Agent	Approved	04/09/2026
<b>B</b> Virginia	Agent	Approved	04/09/2026
<b>B</b> Washington	Agent	Approved	04/09/2026
<b>B</b> Wisconsin	Agent	Approved	04/09/2026

### Branch Office Locations

**RAYMOND JAMES & ASSOCIATES, INC.**  
200 CONCOURSE SUITE 100  
1062 HIGHLAND COLONY PARKWAY  
RIDGELAND, MS 39157



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	05/14/2014
General Securities Representative Examination (S7)	Series 7	06/18/1983

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/25/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	07/14/1983

### 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
B	06/01/2009 - 04/13/2026	STEPHENS	CRD# 3496	RIDGELAND, MS
IA	06/01/2009 - 04/13/2026	STEPHENS	CRD# 3496	RIDGELAND, MS
B	01/01/2008 - 06/02/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	RIDGELAND, MS
IA	01/01/2008 - 06/02/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	RIDGELAND, MS
B	06/22/1983 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	RIDGELAND, MS
IA	09/29/2003 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	RIDGELAND, MS

### 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
04/2026 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Registered Representative	Y	Ridgeland, MS, United States
06/2009 - 03/2026	STEPHENS INC	VP/FINANCIAL CONSULTANT	Y	RIDGELAND, MS, 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.

No information reported.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	STEPHENS INC.
<b>Allegations:</b>	CUSTOMER PURCHASED A MUTUAL FUND IN 2003 THROUGH A. G. EDWARDS. HE NOW SAYS THE FUND WAS MISREPRESENTED TO HIM AND HE WANTS HIS MONEY BACK.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNABLE TO DETERMINE.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/27/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	10/23/2014

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

IN 2003, CUSTOMER PURCHASED A MUTUAL FUND FROM THE REPRESENTATIVE WHEN THE REPRESENTATIVE WAS WITH ANOTHER BROKER DEALER. THE REPRESENTATIVE JOINED OUR FIRM IN 2009 AND AT THAT TIME THE CUSTOMER ASKED THAT HIS ACCOUNT BE MOVED TO OUR FIRM. IN 2014 WE RECEIVED A VERBAL COMPLAINT FROM THE CUSTOMER STATING THAT HE WANTED THE MUTUAL FUND TO RETURN HIS MONEY FROM THE ORIGINAL INVESTMENT IN 2003. THAT CLAIM WAS DENIED. THE CUSTOMER HAS NOW SUBMITTED A WRITTEN COMPLAINT WHICH STATES THAT THE MUTUAL FUND WAS MISREPRESENTED TO HIM. THAT WRITTEN COMPLAINT WAS DENIED AS WELL.

**Disclosure 2 of 5****Reporting Source:**

Individual

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

WACHOVIA SECURITIES, LLC

**Allegations:**

ALLEGED I ADVISED THE PRODUCT WAS GUARANTEED, GOVERNMENT BACKED AND NOT A RISK, UNSUITABLE INVESTMENT. ALLEGED DAMAGES, UNSPECIFIED, OVER \$5,000. (MARCH AND APRIL, 2008)

**Product Type:**

Equity Listed (Common &amp; Preferred Stock)

**Alleged Damages:**

\$0.00

**Customer Complaint Information****Date Complaint Received:**

09/18/2008

**Complaint Pending?**

No

**Status:**

Closed/No Action

**Status Date:**

05/08/2009

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

MY CLIENT CALLED ONE DAY TO SAY SHE HAD A CD COME DUE AT HER LOCAL BANK. SHE SAID SHE WAS NOT HAPPY WITH THE RATE OF THE NEW CD AND WANTED TO LOOK AT OTHER CONSERVATIVE FIXED INCOME OPTIONS. I DID NOT SAY THE PRODUCT WAS GUARANTEED. I SAID FRE WAS A GOVERNMENT SPONSORED ENTITY (GSE) AND HAD THE IMPLIED BACKING OF THE GOVERNMENT. I DID NOT SAY THE PREFERRED STOCK WAS NOT A RISK. I SAID THERE HAS NEVER BEEN A GOVERNMENT AGENCY THAT HAS DEFAULTED. THESE SECURITIES WERE RATED 'BUY' FOR THE CONSERVATIVE INCOME INVESTORS. FURTHERMORE, IN JULY, THE TREASURY RELEASED A STATEMENT STATING THAT FNM AND FRE "MUST CONTINUE IN THEIR CURRENT FORMS AS SHAREHOLDER COMPANIES". AT A HOUSE OF REPRESENTATIVE HEARING THAT MONTH, IT WAS STATED THAT THE FEDERAL REGULATOR OVERSEEING FNM AND FRE "HAS MADE CLEAR THAT THEY ARE ADEQUATELY CAPITALIZED." SUBSEQUENTLY, THE TREASURY DEPARTMENT DECIDED NOT TO SUPPORT THE PREFERRED STOCKS OF FNM AND FRE BY SUSPENDING THEIR DIVIDENDS CAUSING THE SHARE PRICE TO DRAMATICALLY



DECLINE. I DID NOT MISLEAD MY CUSTOMER INTO BUYING THIS SECURITY.

### Disclosure 3 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** ALLEGES I ADVISED HIM INVESTMENT WAS LIQUID AND COULD BE SOLD AT ANY TIME. ALLEGES DAMAGES, UNSPECIFIED, BUT BELIEVED TO EXCEED \$5,000. (2008)

**Product Type:** Other

**Other Product Type(s):** MARS

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 06/04/2008

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 05/22/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THIS COMPLAINT AROSE AS A RESULT OF THE UNPREDEDECENTED ILLIQUIDITY IN THE AUCTION RATE SECURITIES MARKET, WHICH IS A SITUATION THE FA DID NOT CAUSE, AND OVER WHICH THE FA HAD NO CONTROL.

### Disclosure 4 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** A. G. EDWARDS & SONS, INC.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$86,000.00

### Customer Complaint Information

**Date Complaint Received:** 06/16/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/14/1998

**Settlement Amount:** \$36,189.89

**Individual Contribution** \$18,094.95

**Amount:**  
.....

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** A. G. EDWARDS & SONS, INC.  
**Allegations:** UNSUITABLE INVESTMENTS; ALLEGED DAMAGES OF OVER \$86,000.

**Product Type:**

**Alleged Damages:** \$86,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/16/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/14/1998

**Settlement Amount:** \$36,189.89

**Individual Contribution Amount:** \$18,094.95

**Broker Statement** A.G. EDWARDS & SONS, INC. HAS CREDITED [CUSTOMER'S] ACCOUNT THE SUM OF \$36,189.89, OF WHICH I WILL CONTRIBUTE \$18,094.95.  
NOT PROVIDED

**Disclosure 5 of 5**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** A. G. EDWARDS & SONS. INC.  
**Allegations:** ACCOUNT NEGLIGENCE; ALLEGED LOSS OF \$54,031.

**Product Type:**

**Alleged Damages:** \$54,031.00

**Customer Complaint Information**

**Date Complaint Received:** 09/11/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/05/1998

**Settlement Amount:** \$22,265.00

**Individual Contribution Amount:** \$7,000.00

**Firm Statement** A.G. EDWARDS & SONS, INC. HAS AGREED TO PAY \$22,265 TO [CUSTOMER], OF WHICH I WILL CONTRIBUTE AT LEAST \$7,000.



NOT PROVIDED

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** A. G. EDWARDS & SONS. INC.  
**Allegations:** ACCOUNT NEGLIGENCE; ALLEGED LOSS OF \$15,000  
**Product Type:**  
**Alleged Damages:** \$54,031.00

**Customer Complaint Information**

**Date Complaint Received:** 09/11/1998  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/05/1998  
**Settlement Amount:** \$22,265.00  
**Individual Contribution Amount:** \$7,000.00

**Broker Statement** AG EDWARDS & SONS, INC HAS AGREED TO PAY \$22,265 TO [CUSTOMER] OF WHICH I WILL CONTRIBUTE AT LEAST \$7,000. CAPSTEAD MORTGAGE WA SELECTED TO REPLACE THE HIGH DIVIDEND INCOME SHE WAS RECEIVING FROM THE 7 YEAR INVESTMENT FROM THE QUEST FOR VALUE DUAL PURPOSE INCOME SHARES THAT TERMINATED. [CUSTOMER] WAS VERY PLEASED WITH THIS FUND AND WANTED A SIMILAR INVESTMENT. AFTER RESEARCHING SEVERAL INVESTMENT ALTERNATIVES AND MAILING INFORMATION ON CAPSTEAD MORTGAGE, I CONSIDERED THAT THIS REIT WOULD PROVIDE HER ABOVE AVERAGE INCOME WITH CONSERVATIVE GROWTH.



## End of Report

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