



IAPD Report

FREDERICK JAMES RICKEY III

CRD# 1143497

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9

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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

FREDERICK JAMES RICKEY III (CRD# 1143497)

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 **12/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	01/03/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	01/03/2022

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** 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	MORGAN STANLEY	149777	Providence, RI	11/07/2013 - 01/18/2022
IA	MORGAN STANLEY	149777	Providence, RI	11/07/2013 - 01/18/2022
IA	JANNEY MONTGOMERY SCOTT LLC	463	PROVIDENCE, RI	10/16/2007 - 11/08/2013

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	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 **17** 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 FINRA	General Securities Representative	Approved	01/03/2022
B FINRA	General Securities Sales Supervisor	Approved	01/03/2022
B FINRA	Invest. Co and Variable Contracts	Approved	01/03/2022
B Investors' Exchange LLC	General Securities Representative	Approved	10/15/2025
B MEMX LLC	General Securities Representative	Approved	10/15/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	10/15/2025
B NYSE American LLC	General Securities Representative	Approved	01/03/2022
B NYSE American LLC	General Securities Sales Supervisor	Approved	01/03/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	10/15/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/15/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/15/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/15/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/03/2022



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/03/2022
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2022
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/03/2022
B New York Stock Exchange	General Securities Representative	Approved	01/03/2022
B New York Stock Exchange	General Securities Sales Supervisor	Approved	01/03/2022
B Arizona	Agent	Approved	01/03/2022
B California	Agent	Approved	01/03/2022
B Colorado	Agent	Approved	01/03/2022
B Connecticut	Agent	Approved	01/03/2022
B Florida	Agent	Approved	01/03/2022
B Illinois	Agent	Approved	01/03/2022
B Massachusetts	Agent	Approved	01/05/2022
B Michigan	Agent	Approved	01/03/2022
B New Hampshire	Agent	Approved	06/23/2025
B New Jersey	Agent	Approved	12/02/2025
B New York	Agent	Approved	01/03/2022
B North Carolina	Agent	Approved	05/02/2025
B Oregon	Agent	Approved	01/03/2022
B Pennsylvania	Agent	Approved	01/03/2022



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	01/03/2022
IA Rhode Island	Investment Adviser Representative	Approved	01/03/2022
B Texas	Agent	Approved	01/03/2022
IA Texas	Investment Adviser Representative	Restricted Approval	01/14/2022
B Washington	Agent	Approved	01/03/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
100 Westminster Street Suite 1002
Providence, RI 02903



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/12/2009
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/12/2009
General Securities Principal Examination (S24)	Series 24	10/16/1991

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/11/1995
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/24/1983

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/02/1991
Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/1987

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	11/07/2013 - 01/18/2022	MORGAN STANLEY	CRD# 149777	Providence, RI
IA	11/07/2013 - 01/18/2022	MORGAN STANLEY	CRD# 149777	Providence, RI
IA	10/16/2007 - 11/08/2013	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PROVIDENCE, RI
B	10/12/2007 - 11/08/2013	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PROVIDENCE, RI
B	07/01/2003 - 10/19/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	NEWPORT, RI
IA	07/01/2003 - 10/19/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	NEWPORT, RI
IA	08/24/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEWPORT, RI
B	08/10/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/29/1998 - 08/24/2001	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	04/03/1995 - 06/03/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/01/1996 - 04/07/1997	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	09/22/1993 - 06/01/1996	NORTH AMERICAN MANAGEMENT, INC.	CRD# 624	SIOUX FALLS, SD
B	04/20/1993 - 09/22/1993	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	04/20/1993 - 09/22/1993	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	03/20/1990 - 04/22/1993	NORTH AMERICAN MANAGEMENT, INC.	CRD# 624	SIOUX FALLS, SD
B	12/14/1989 - 04/09/1990	MONARCH SECURITIES, INC.	CRD# 2809	
B	06/28/1988 - 04/09/1990	MONARCH SECURITIES, INC.	CRD# 2809	



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	01/17/1989 - 12/21/1989	NORTH AMERICAN MANAGEMENT, INC.	CRD# 624	SIoux FALLS, SD
B	03/27/1986 - 02/13/1989	EQUICO SECURITIES, INC.	CRD# 6627	
B	03/27/1986 - 02/13/1989	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	
B	12/02/1985 - 01/21/1986	E. F. HUTTON & COMPANY INC	CRD# 235	
B	09/27/1983 - 03/13/1984	EQUICO SECURITIES, INC.	CRD# 6627	
B	09/27/1983 - 03/13/1984	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	

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
01/2022 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	PROVIDENCE, RI, United States
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
11/2013 - Present	MORGAN STANLEY	FA RECRUIT	Y	PROVIDENCE, RI, 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.

Name of Business: Immaculate Conception Parish

Address: Garden Hills Drive, Cranston, RI, 02920, United States

Activity Type: Non profit

Position/Title: Committee Member

Investment Related: Yes

Start Date: 09/01/2011

Hours per month devoted to this business: 0-1

Hours per month devoted to this business during trading hours: 0-1

Description of duties: Church Finance Committee Member. Quarterly Meetings to review church financial statements. Advisory



Registration & Employment History



OTHER BUSINESS ACTIVITIES

capacity only. No investment or financial accounts responsibilities.



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	1

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 1

Reporting Source: Individual

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

Allegations: MASSACHUSETTS CLIENT CLAIMED THAT ON JANUARY 29, 2007 SHE LEFT INSTRUCTIONS WITH THE FA'S ASSISTANT FOR THE FA TO STOP TRADING IN HER ACCOUNTS: 1) R/O IRA ACCOUNT; AND 2) A FEE-BASED DISCRETIONARY TAXABLE ACCOUNT MANAGED BY THE FA (PIM ACCOUNT). THE CLIENT FURTHER CLAIMED THAT WHEN SHE RECEIVED CONFIRMATIONS FOR TRADES DONE IN HER ACCOUNTS (SPECIFICALLY THE PIM ACCOUNT) AFTER JANUARY 29, 2007 SHE SPOKE TO THE FA AND THE FA TOLD HER THAT SHE COULDN'T RESCIND THE AUTHORIZATION VERBALLY. THE CLIENT CLAIMED THAT SHE FAXED, AND SENT OVERNIGHT, THE WRITTEN REVOCATION OF THE DISCRETIONARY AUTHORITY TO THE FAS OFFICE ON FEBRUARY 14, 2007. THE CLIENT CLAIMED THAT SHE THEN RECEIVED TRADE CONFIRMATIONS IN THE MAIL FOR TRADES DONE ON FEBRUARY 14, 2007. THE CLIENT CLAIMED THAT THOSE TRADES CAUSED HER TO INCUR SHORT-TERM CAPITAL GAINS. THE CLIENT CLAIMED THAT WHEN SHE INSTRUCTED THE FA TO LIQUIDATE HER ACCOUNTS SO THAT SHE COULD TRANSFER THE ACCOUNTS TO A NEW ADVISOR, SHE WAS CHARGED COMMISSIONS ON THE LIQUIDATIONS OF PURCHASES MADE AFTER THE 14TH OF FEBRUARY. THE CLIENT SEEKS TO RECOVER ALL OF THE COMMISSIONS, ESTIMATED TO BE \$5,505.21, CHARGED TO BOTH OF HER ACCOUNTS AFTER JANUARY 31, 2007. FURTHER, THE CLIENT SEEKS TO BE REIMBURSED FOR ANY TAXES CAUSED BY THE TRADES DONE AS WELL AS ANY LOSSES ON PURCHASES AFTER SHE GAVE THE FA INSTRUCTIONS TO CEASE TRADING IN HER ACCOUNTS. LOSSES ON PURCHASES ARE BELIEVED TO BE APPROXIMATELY \$1,693.69.



Product Type: Other
Other Product Type(s): WRAP ACCOUNTS
Alleged Damages: \$7,198.90

Customer Complaint Information

Date Complaint Received: 05/30/2007
Complaint Pending? No
Status: Settled
Status Date: 09/20/2007
Settlement Amount: \$4,732.00
Individual Contribution Amount: \$1,656.00

Broker Statement SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$4,732.



End of Report

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