IAPD Report

Richard Paul Holsan

CRD# 1148750

Section Title | **Page(s)**

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Richard Paul Holsan (CRD# 1148750)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	04/28/2023
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	04/28/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Ft Lauderdale, FL	02/11/2009 - 05/02/2023
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Ft Lauderdale, FL	01/30/2009 - 05/02/2023
B	SECURITIES AMERICA, INC.	10205	PLANTATION, FL	05/05/2009 - 12/21/2010

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	3

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 **25** 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	04/28/2023
B	Alabama	Agent	Approved	05/03/2023
B	Arizona	Agent	Approved	04/28/2023
B	California	Agent	Approved	04/28/2023
B	Colorado	Agent	Approved	04/28/2023
B	Connecticut	Agent	Approved	04/28/2023
B	Florida	Agent	Approved	04/28/2023
B	Georgia	Agent	Approved	04/28/2023
B	Indiana	Agent	Approved	04/28/2023
B	Louisiana	Agent	Approved	04/28/2023
B	Maryland	Agent	Approved	04/28/2023
B	Minnesota	Agent	Approved	05/05/2023
B	Nevada	Agent	Approved	04/28/2023

Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	04/28/2023
B	New Jersey	Agent	Approved	04/28/2023
B	New York	Agent	Approved	04/28/2023
B	North Carolina	Agent	Approved	04/28/2023
B	Ohio	Agent	Approved	04/28/2023
B	Oklahoma	Agent	Approved	04/28/2023
B	Oregon	Agent	Approved	04/28/2023
B	Pennsylvania	Agent	Approved	04/28/2023
B	South Carolina	Agent	Approved	04/28/2023
B	Tennessee	Agent	Approved	04/28/2023
B	Texas	Agent	Approved	04/28/2023
B	Virginia	Agent	Approved	04/28/2023
B	Washington	Agent	Approved	04/28/2023

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
6550 N Federal Highway
Suite 505
Fort Lauderdale, FL 33308

Employment 2 of 2

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

Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	05/03/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	04/28/2023

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
6550 N. Federal Highway
Suite 505
Fort Lauderdale, FL 33308

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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/20/1985
B	Direct Participation Programs Representative Examination (S22)	Series 22	07/13/1983
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/11/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/1989

PROFESSIONAL DESIGNATIONS

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

No information reported.

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
IA	02/11/2009 - 05/02/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Ft Lauderdale, FL
B	01/30/2009 - 05/02/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Ft Lauderdale, FL
B	05/05/2009 - 12/21/2010	SECURITIES AMERICA, INC.	CRD# 10205	PLANTATION, FL
IA	05/17/2005 - 02/05/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	HOLLYWOOD, FL
B	11/17/2004 - 02/05/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	HOLLYWOOD, FL
B	03/29/1999 - 11/12/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	12/18/1996 - 04/06/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	08/17/1995 - 08/29/1996	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	04/17/1993 - 05/31/1995	FIS SECURITIES, INC.	CRD# 30533	BOSTON, MA
B	07/05/1991 - 02/24/1993	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	02/16/1990 - 07/08/1991	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	01/25/1988 - 03/06/1990	TAI SECURITIES CORP.	CRD# 16530	
B	02/25/1988 - 07/19/1989	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	02/25/1988 - 07/19/1989	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	10/02/1986 - 01/15/1988	TURCAN FINANCIAL GROUP, INC.	CRD# 18037	
B	07/14/1986 - 11/04/1986	IDS SECURITIES CORP.	CRD# 11176	

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	07/12/1983 - 11/04/1986	IDS MARKETING CORPORATION	CRD# 6363	
B	07/12/1983 - 10/17/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

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
04/2023 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Fort Lauderdale, FL, United States
04/2023 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Fort Lauderdale, FL, United States
01/2009 - 04/2023	Ameriprise Financial Services, Inc.	Registered Rep	Y	Plantation, 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: Leeward Financial Group Address: 6550 N Federal Hwy Ste 505, Fort Lauderdale, FL, 33308-1404, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 04/28/2023 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Consulting
(2)Name of Business: Leeward RPH LLC Address: 2670 N Federal Hwy Ste 2, Lighthouse Point, FL, 33064-6858, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 05/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: tax reporting income account
(3)Name of Business: LFG TLH Properties, LLC Address: 2670 N Federal Hwy Ste 2, Lighthouse Point, FL, 33064-6858, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 03/01/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manage Property
(4)Name of Business: The Dock Experts Address: 2670 N Federal Hwy, Lighthouse Point, FL, 33064, United States Activity Type: Business Owner Position/Title: Officer - Vice President, Partner, Owner/Proprietor Investment Related: No Start Date: 01/15/2017 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Business Management, limited involvement
(5)Name of Business: The Dock Experts Land Holding Co LLC Address: 2670 N Fed Hwy, Lighthouse Point, FL, 33064, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 12/01/2020 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: review business activity

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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	Claimant alleges that he lost his entire life savings totaling approximately $1,096,000 due to fraudulent misrepresentations made by FA from 2000 - 2004.
Product Type:	Insurance
Alleged Damages:	$1,096,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-00826
Date Notice/Process Served:	03/16/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/26/2018
Monetary Compensation Amount:	$5,500.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Court of Common Please
Location of Court:	Luzerne County, PA
Docket/Case #:	13930-2008
Date Notice/Process Served:	01/02/2018
Litigation Pending?	No
Disposition:	Withdrawn
Disposition Date:	03/16/2018
Firm Statement	The firm decided to settle this matter to avoid the costs and risks of protracted litigation. We continue to deny the allegations alleged in the claim. The registered person did not contribute to the settlement.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	Claimant alleges that he lost his entire life savings totaling approximately $1,096,000 due to fraudulent misrepresentations made by FA from 2000 - 2004.
Product Type:	Insurance
Alleged Damages:	$1,096,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-00826
Date Notice/Process Served:	03/16/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/26/2018
Monetary Compensation Amount:	$5,500.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Court of Common Pleas
Location of Court:	Luzerne County, PA
Docket/Case #:	13930-2008
Date Notice/Process Served:	01/02/2018
Litigation Pending?	No

Disposition:	Withdrawn
Disposition Date:	03/16/2018
Broker Statement	The firm decided to settle this matter to avoid the costs and risks of protracted litigation. We continue to deny the allegations alleged in the claim. The registered person did not contribute to the settlement.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT HIS FA DID NOT EXPLAIN HIS HIGHLAND FLOATING RATE POSITION CORRECTLY. STATES HE WAS TOLD HE COULD HAVE ACCESS TO FUNDS AT ANYTIME AND THIS IS NOT THE CASE. ALLEGED DAMAGES EXCEED $5000.00
Product Type:	Mutual Fund
Alleged Damages:	$19,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/10/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/24/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT HIS FA DID NOT EXPLAIN HIS HIGHLAND FLOATING RATE POSITION CORRECTLY. STATES HE WAS TOLD HE COULD HAVE ACCESS TO FUNDS AT ANYTIME AND THIS IS NOT THE CASE. ALLEGED DAMAGES EXCEED $5000.00
Product Type:	Mutual Fund
Alleged Damages:	$19,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes

Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/10/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/24/2009
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	THE CLIENTS ALLEGED UNSUITABILITY WITH REGARD TO THEIR MANAGED ACCOUNTS. 2001 - 2002. ALLEGED DAMAGES UNSPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	09/12/2002
Complaint Pending?	No
Status:	Denied
Status Date:	01/22/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED.

End of Report

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