User Guidance

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IAPD Report

LARRY ROBERT MITCHELL

CRD# 1157656

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

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Report Summary

LARRY ROBERT MITCHELL (CRD# 1157656)

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 **11/24/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	05/11/2006
IA	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	06/23/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	FIRST ALLIED SECURITIES, INC.	32444	SUN CITY, AZ	04/28/2006 - 05/16/2006
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	SUN CITY, AZ	11/14/2005 - 05/02/2006
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SUN CITY, AZ	07/22/1999 - 05/02/2006

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	4

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

Employment 1 of 1

Firm Name: **GENEOS WEALTH MANAGEMENT, INC.**

Main Address: 9635 MAROON CIRCLE
SUITE 100
ENGLEWOOD, CO 80112

Firm ID#: 120894

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/11/2006
B	FINRA	General Securities Representative	Approved	05/11/2006
B	FINRA	Municipal Fund	Approved	05/11/2006
B	Arizona	Agent	Approved	05/11/2006
IA	Arizona	Investment Adviser Representative	Approved	10/19/2012
B	Arkansas	Agent	Approved	05/11/2006
B	California	Agent	Approved	05/11/2006
B	Colorado	Agent	Approved	06/30/2006
B	Florida	Agent	Approved	05/11/2006
B	Georgia	Agent	Approved	05/11/2006
B	Illinois	Agent	Approved	05/11/2006
B	Indiana	Agent	Approved	08/24/2006
B	Michigan	Agent	Approved	05/11/2006

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	05/11/2006
B	Nebraska	Agent	Approved	06/24/2020
B	New Hampshire	Agent	Approved	01/02/2013
B	Ohio	Agent	Approved	05/11/2006
B	Oregon	Agent	Approved	05/11/2006
B	Tennessee	Agent	Approved	02/02/2021
B	Texas	Agent	Approved	05/11/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	06/23/2006
B	Virginia	Agent	Approved	05/11/2006
B	Washington	Agent	Approved	06/23/2020
B	Wisconsin	Agent	Approved	05/11/2006

Branch Office Locations

GENEOS WEALTH MANAGEMENT, INC.
GLENDALE, AZ

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Municipal Fund Securities Principal Examination (S51)	Series 51	10/31/2003

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	07/16/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/02/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1983

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	04/28/2006 - 05/16/2006	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SUN CITY, AZ
IA	11/14/2005 - 05/02/2006	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	SUN CITY, AZ
B	07/22/1999 - 05/02/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SUN CITY, AZ
B	01/06/1995 - 10/01/1999	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	08/01/1984 - 01/27/1995	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	07/21/1983 - 07/31/1984	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
05/2006 - Present	GENEOS WEALTH MANAGEMENT, INC.	REGISTERED REP / INVESTMENT ADVISOR	Y	GLENDALE, AZ, United States
01/1995 - Present	ROBERT HARDING FINANCIAL GROUP	DBA/PRESIDENT	N	GLENDALE, AZ, 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)DBA:OWNER OF ROBERT HARDING FINANCIAL GROUP BUSINESS LOCATED AT BRANCH LOCATION. 2)INDENDENT REP WITH VARIOUS INSURANCE CARRIERS FOR FIXED ONLY. 3)FAMILY FARM-OWNER.

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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	THE TRUSTEES OF THE JUNE THOMPSON TRUST ALLEGE THAT A FLEXIBLE PREMIUM ADJUSTABLE VARIABLE LIFE INSURANCE POLICY SOLD TO TRUST IN NOVEMBER 2000 WAS NOT SUITABLE AND RESULTED IN SUBSTANTIAL LOSSES. CLAIMANT FURTHER ALLEGES THAT DUE TO THE LOSS OF VALUE THE POLICY IS NOW IN DANGER OF BEING CANCELLED BEFORE HER LIFE EXPECTANCY. CLAIMED DAMAGES NOT SPECIFIED BUT APPEAR TO BE GREATER THAN $5000.
Product Type:	Insurance
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	12/23/2004
Complaint Pending?	No
Status:	Denied
Status Date:	01/31/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLAIMANTS ALLEGE FALSE AND UNSUITABLE INVESTMENT RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY AND FAILURE TO SUPERVISE. TIME PERIOD: 12/26/00 - 12/2003.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$75,981.00

Customer Complaint Information

Date Complaint Received:	11/24/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/24/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 04-05720
Date Notice/Process Served:	11/24/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2005
Monetary Compensation Amount:	$28,000.00
Individual Contribution Amount:	$14,000.00
Broker Statement	BROKER MAINTAINS THAT HE DID NOTHING WRONG- HAVING TAKEN ALL PRIDENT, NECESSARY AND PROPER STEPS AND HAVING EXERCISED DUE DILIGENCE IN ADVISING COMPLAINANTS. CLIENT HAD EXPRESSED CONCERN WITH THE DECLINE IN THEIR INVESTMENT (SOLD BY ANOTHER BROKER)AND THE MARKET. AFTER HAVING BEEN FULLY INFORMED, CLIENTS DETERMINE THAT THEY WANTED TO LIQUIDATE THEIR ANNUITY, WHICH THEY DID. APPARENTLY THEY SUBSEQUENTLY REGRETTED THEIR DECISION. CLIENTS PRONOUNCED THEMSELVES VERY HAPPY AND TOTALLY SATISFIED WITH BROKER WITHIN 4 BUSINESS DAYS OF FILING SUBSEQUENT COMPLAINT. ULTIMATELY IT WAS DECIDED TO REFUND CLIENTS SURRENDER CHARGES TO SETTLE THE MATTER VERSUS EXPERIENCING THE COSTS IN TIME AND MONEY TO CONTINUE TO DEFEND THIS, EVEN THOUGH TRANSACTION WAS UNSOLICITED BY BROKER AND CLIENTS WERE FULLY INFORMED AND KNEW PRECISELY ABOUT AND HAD AGREED TO THESE

CHARGES IN ADVANCE OF THEIR LIQUIDATION DECISION. PUTTING THIS BEHIND HIM, BROKER CAN FULLY FOCUS ONCE AGAIN ON SERVING EXISTING CLIENTELE.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT ALLEGES MISREPRESENTATIONS.
Product Type:	Other
Other Product Type(s):	ANNUITY
Alleged Damages:	$11,000.00

Customer Complaint Information

Date Complaint Received:	05/12/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/19/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	COMPLAINT NO LONGER REPORTABLE - PLEASE ARCHIVE.

Disclosure 4 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	RAUSCHER PIERCE REFSNES, INC.
Allegations:	EXECUTIONS-FAILURE TO EXECUTE
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES
Alleged Damages:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #90-02307
Date Notice/Process Served:	02/01/1991
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	05/29/1991
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY AND SHALL PAY TO CLAIMANTS

	$2,000.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAUSCHER PIERCE REFSNES, INC
Allegations:	EXECUTIONS - FAILURE TO EXECUTE
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/29/1991
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	CASE #90-02307
Date Notice/Process Served:	08/21/1990
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/29/1991
Monetary Compensation Amount:	$2,000.00
Individual Contribution Amount:	$0.00
Broker Statement	RESPONDENT IS JOINTLY AND SEVERALLY AND SHALL PAY CLAIMANTS $2000. PER FINRA LETTER DATED 06/05/2008 - WE AMENDED U4 TO ADD/ AND FIX COMPLAINT FROM 1991 AT PREVIOUS FIRM -RAUSCHER PIERCE REFSNES, INC.

End of Report

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