



IAPD Report

ROBERT RAYMOND JONES

CRD# 1158395

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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

ROBERT RAYMOND JONES (CRD# 1158395)

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 **02/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/17/2002
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	Middlesboro, KY	08/13/2002 - 01/02/2009
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	CHARLESTON, WV	01/26/1998 - 07/30/2002
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	09/10/1993 - 07/30/2002

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
Judgment/Lien	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 **27** 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	07/17/2002
B	FINRA	General Securities Sales Supervisor	Approved	06/28/2017
B	Alabama	Agent	Approved	06/18/2020
B	California	Agent	Approved	07/17/2002
B	Colorado	Agent	Approved	06/21/2018
B	District of Columbia	Agent	Approved	02/18/2026
B	Florida	Agent	Approved	07/17/2002
B	Georgia	Agent	Approved	10/09/2020
B	Illinois	Agent	Approved	09/20/2021
B	Indiana	Agent	Approved	03/12/2015
B	Kentucky	Agent	Approved	09/07/2022
B	Louisiana	Agent	Approved	11/15/2018
B	Maryland	Agent	Approved	01/06/2009



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	10/31/2023
B Montana	Agent	Approved	01/06/2025
B New Hampshire	Agent	Approved	09/27/2024
B New Jersey	Agent	Approved	03/11/2024
B New York	Agent	Approved	12/17/2024
B North Carolina	Agent	Approved	08/27/2018
B Ohio	Agent	Approved	07/17/2002
B Oklahoma	Agent	Approved	08/23/2022
B Pennsylvania	Agent	Approved	12/05/2022
B South Carolina	Agent	Approved	07/17/2002
B Tennessee	Agent	Approved	10/06/2021
B Texas	Agent	Approved	09/03/2004
B Utah	Agent	Approved	10/16/2024
B Virginia	Agent	Approved	05/26/2020
B Washington	Agent	Approved	11/04/2025
B West Virginia	Agent	Approved	07/17/2002

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 500 Virginia St E
 Suite 910
 Charleston, WV 25301

RAYMOND JAMES FINANCIAL SERVICES
 6792 Cumberland Gap Pkwy
 Harrogate, TN 37752



Qualifications

RAYMOND JAMES FINANCIAL SERVICES

520 Fifth Ave
New Tazewell, TN 37825

RAYMOND JAMES FINANCIAL SERVICES

300 Main Street
Jackson, TN 37757

RAYMOND JAMES FINANCIAL SERVICES

185 Finance Street
Harlan, KY 40831

RAYMOND JAMES FINANCIAL SERVICES

1602 Cumberland Ave
Middlesboro, KY 40965

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 Texas	Investment Adviser Representative	Restricted Approval	04/22/2009
IA West Virginia	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

500 Virginia St E
Suite 910
Charleston, WV 25301





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, 3 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	06/28/2017
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/15/2017

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/14/1995
 General Securities Representative Examination (S7)	Series 7	09/09/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/08/1993

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	08/13/2002 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	Middlesboro, KY
IA	01/26/1998 - 07/30/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	CHARLESTON, WV
B	09/10/1993 - 07/30/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/21/1983 - 12/21/1984	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	

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	MASS TRANSFER	Y	CHARLESTON, WV, United States
07/2002 - Present	JONES MONK AND RANSON LLC	Other	N	CHARLESTON, WV, United States
07/2002 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	BRANCH MANAGER/FINANCIAL ADVISOR	Y	CHARLESTON, WV, United States
08/2001 - Present	ACCESS SYSTEMS	OFFICER/TREASURER	N	CHARLESTON, WV, United States
06/1986 - 07/2017	COLBY CORPORATION	OTHER	Y	CHARLESTON, WV, 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: Access Systems Address: 4108 MacCorkle Ave, SE, Charleston, WV, 25304, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Officer - Treasurer, Officer - Secretary Investment Related: No Start Date: 08/01/2001 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Reveiws Financials or assist my wife with any topics she asks of me.

(2)Name of Business: Jones Monk and Ranson LLC Address: 500 Virginia Street E, Suite 910, Charleston, WV, 25301, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 07/25/2002 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: 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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Robert L Burnworth
Judgment/Lien Amount:	\$150,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	05/24/2012
Date Individual Learned:	08/23/2019
Type of Court:	Circuit Court
Name of Court:	Kanawha County Circuit Court
Location of Court:	Charleston WV 25301
Docket/Case #:	11-c-2026
Judgment/Lien Outstanding?	Yes
Broker Statement	<p>This Judgment was initially ordered on 5/24/2012 in the amount of \$725715.28. A Settlement Agreement was signed on 9/8/2021 reducing the judgment amount to \$150,000.</p> <p>The judgment is a result of a bond issued by by wife's company that was called prior to maturity, not any securities related business of my own.</p>



End of Report

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