



IAPD Report

BARRY PAUL SARIN

CRD# 1183965

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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

BARRY PAUL SARIN (CRD# 1183965)

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 **10/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	01/14/2016
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	12/11/2018

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **30** 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	DAVID LERNER ASSOCIATES, INC.	5397	TEANECK, NJ	09/01/1983 - 01/15/2016

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
Regulatory Event	2



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 **30** 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
	FINRA	General Securities Representative	Approved	01/14/2016
	FINRA	Municipal Securities Representative	Approved	01/14/2016
	Investors' Exchange LLC	General Securities Representative	Approved	10/14/2025
	MEMX LLC	General Securities Representative	Approved	10/14/2025
	NYSE American LLC	General Securities Representative	Approved	01/14/2016
	NYSE American LLC	Municipal Securities Representative	Approved	01/14/2016
	NYSE Arca, Inc.	General Securities Representative	Approved	10/14/2025
	NYSE Texas, Inc.	General Securities Representative	Approved	10/14/2025
	Nasdaq PHLX LLC	General Securities Representative	Approved	01/14/2016
	Nasdaq Stock Market	General Securities Representative	Approved	01/14/2016
	New York Stock Exchange	General Securities Representative	Approved	01/14/2016
	New York Stock Exchange	Municipal Securities Representative	Approved	01/14/2016
	Arizona	Agent	Approved	01/14/2016



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	01/14/2016
B	Colorado	Agent	Approved	11/29/2021
B	Connecticut	Agent	Approved	01/14/2016
B	Delaware	Agent	Approved	07/15/2019
B	District of Columbia	Agent	Approved	12/03/2019
B	Florida	Agent	Approved	01/19/2016
B	Georgia	Agent	Approved	01/14/2016
B	Illinois	Agent	Approved	07/01/2019
B	Kansas	Agent	Approved	04/19/2024
B	Maine	Agent	Approved	01/14/2016
B	Maryland	Agent	Approved	01/14/2016
B	Massachusetts	Agent	Approved	01/14/2016
B	Michigan	Agent	Approved	01/14/2016
B	Missouri	Agent	Approved	05/31/2018
B	Nebraska	Agent	Approved	01/31/2025
B	Nevada	Agent	Approved	01/25/2018
B	New Hampshire	Agent	Approved	01/14/2016
B	New Jersey	Agent	Approved	01/14/2016
IA	New Jersey	Investment Adviser Representative	Approved	05/09/2019



Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	08/09/2018
B	New York	Agent	Approved	01/14/2016
IA	New York	Investment Adviser Representative	Approved	06/25/2024
B	North Carolina	Agent	Approved	01/14/2016
B	Ohio	Agent	Approved	08/29/2017
B	Oregon	Agent	Approved	01/24/2018
B	Pennsylvania	Agent	Approved	01/14/2016
B	South Carolina	Agent	Approved	01/14/2016
B	Tennessee	Agent	Approved	01/14/2016
B	Texas	Agent	Approved	01/14/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	12/11/2018
B	Virginia	Agent	Approved	02/07/2018
B	Washington	Agent	Approved	01/14/2016

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
61 SOUTH PARAMUS ROAD
SUITE 360
PARAMUS, NJ 07652

RAYMOND JAMES & ASSOCIATES, INC.
Wayne, NJ



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, 5 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	04/02/1993
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/18/1984
B Non-Member General Securities Examination (S2)	Series 2	02/18/1984
B Municipal Securities Representative Examination (S52)	Series 52	09/01/1983

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/08/2019
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/20/1986



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
B	09/01/1983 - 01/15/2016	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	TEANECK, NJ

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
01/2016 - Present	Raymond James & Associates, Inc.	Financial Advisor	Y	Paramus, NJ, 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
Regulatory Event	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/23/1987

Docket/Case Number: NY-5050

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 11/24/1988

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT NO. NY-5050 FILED NOVEMBER 23, 1987 BY DISTRICT NO.



12 AGAINST RESPONDENTS BETH JILL DIGIACINTO AND BARRY PAUL SARIN ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENTS DIGIACINTO AND SARIN SAT BESIDE EACH OTHER WHILE TAKING THE SERIES 7 EXAMINATION AND PROVIDED ASSISTANCE TO ONE ANOTHER DURING THE COURSE OF THE EXAM.

DECISION RENDERED MARCH 24, 1988, WHEREIN RESPONDENTS ARE CENSURED, FINED \$1,000.00 EACH, SUSPENDED FROM ASSOCIATION WITH ANY MEMBER FOR ONE (1) YEAR IN ALL CAPACITIES AND ASSESSED COSTS OF \$987.00. IF NO FURTHER ACTION, DECISION IS FINAL MAY 7, 1988.

BOARD OF GOVERNORS' DECISION RENDERED OCTOBER 25, 1988, WHEREIN THE FINDINGS MADE AND THE SANCTIONS IMPOSED ARE AFFIRMED. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 24, 1988.
NOVEMBER 24, 1988 - DECISION IS FINAL.

1/11/89, RECEIVED NOTIFICATION FROM THE OFFICE OF GENERAL COUNSEL THAT THE ABOVE-NOTED DECISION IS FINAL AND THE SUSPENSION BECAME EFFECTIVE ON JANUARY 3, 1989. IN ACCORDANCE, MR. SARIN IS SUSPENDED FROM REGISTRATION UNTIL JANUARY 4, 1990.*****

\$987 COST PAID J&S 3/10/89 - DEPOSIT NO.'S 347 & 381

\$1,000 FINE PAID 3/10/89 - DEPOSIT #381

Reporting Source:	Individual
Regulatory Action Initiated By:	DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/23/1987
Docket/Case Number:	NY-5050
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THE SANCTIONS WERE BASED ON FINDINGS THAT SARIN PROVIDED ASSISTANCE TO ONE ANOTHER DURING THE COURSE OF THE SERIES 7 EXAMINATION.
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/24/1988
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00



Suspension

Other Sanctions Ordered:**Sanction Details:**

ON NOVEMBER 24, 1989 I WAS CENSURED AND FINED \$1987.00. I WAS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER IN ALL CAPACITIES FOR ONE FULL YEAR.

Disclosure 2 of 2**Reporting Source:**

Regulator

Regulatory Action Initiated By:

CONNECTICUT

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

07/11/1989

Docket/Case Number:

Unknown

Employing firm when activity occurred which led to the regulatory action:

Product Type:**Other Product Type(s):****Allegations:****Current Status:**

Final

Resolution:

Decision

Resolution Date:

07/11/1989

Sanctions Ordered:

Revocation/Expulsion/Denial

Other Sanctions Ordered:**Sanction Details:****Regulator Statement**

8-12-89 FORM U6 (8055-20889) DISCLOSES: ON JULY 11, 1989, THE SECURITIES AND BUSINESS INVESTMENTS DIVISION, REVOKED THE BROKER/DEALER AGENT REGISTRATION OF BARRY PAUL SARIN. THE REVOCATION WAS BASED ON NASD COMPLAINT NO. NY-5050 IN WHICH MR. SARIN WAS SUSPENDED FOR ONE YEAR FOR CHEATING ON THE SERIES 7 EXAM. DOCKET/CASE NO. NOT GIVEN, DATED 7/1/89.

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Reporting Source:

Firm

Regulatory Action Initiated By:

CONNECTICUT

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

07/11/1989

Docket/Case Number:

Unknown



Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 07/11/1989

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details:

Firm Statement

PARTIAL U5 FROM DAVID LERNER ASSOCIATES, INC. DISCLOSES 'OTHER' AS A REASON FOR TERMINATION ON 1/3/89 DUE TO NASD ONE YEAR SUSPENSION. ON OCTOBER 25, 1988, THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. AND ITS BOARD OF GOVERNORS IN COMPLAINT NUMBER NY-5050, SUSPENDED MR. SARIN FOR ONE YEAR FROM ASSOCIATION WITH ANY MEMBER, IN ALL CAPACITIES. HIS NASD REGISTRATION WILL BE APPROVED BY THE NASD ON THE OPENING OF BUSINESS JANUARY 4, 1990. *****PARTIAL U5 WAS RECEIVED ON *2/23/89 WITH DUPLICATE INFORMATION. *****9/12/89 PARTIAL U5 RECEIVED WITH DUPLICATE INFORMATION. ****2/7/90^ PARTIAL U5 FROM DAVID LERNER ASSOCIATES, INC. DISCLOSES THAT ON NOVEMBER 24, 1989, CARIN WAS CENSURED AND FINED \$1,987.00 FOR PROVIDING ASSISTANCE TO ANOTHER DURING THE COURSE OF THE SERIES 7 EXAM. HE WAS REINSTATED BY THE NASD ON 1/4/90.

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF CONNECTICUT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/11/1989

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: SANCTIONS WERE BASED ON FINDINGS THAT I PROVIDED ASSISTANCE TO ANOTHER DURING THE COURSE OF THE SERIES 7 EXAMINATION.



Current Status:	Final
Resolution:	Decision
Resolution Date:	07/11/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	
Broker Statement	*** SEE INCIDENT NO.4 FOR RELATED DETAILS. ***



End of Report

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