



## IAPD Report

# ELLEN VERONICA MARTZ

CRD# 1262473

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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

### ELLEN VERONICA MARTZ (CRD# 1262473)

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 **11/05/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	06/17/1998
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/12/2010

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **20** 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>B</b>	RONEY & CO.	45091	DETROIT, MI	05/11/1998 - 09/25/1999
<b>B</b>	RONEY & CO. L.L.C.	900	DETROIT, MI	10/22/1993 - 05/11/1998
<b>B</b>	SMITH BARNEY SHEARSON INC.	7059	NEW YORK, NY	07/31/1993 - 11/12/1993

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 **20** 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>B</b> FINRA	General Securities Representative	Approved	09/25/1999
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	11/05/2025
<b>B</b> MEMX LLC	General Securities Representative	Approved	11/05/2025
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/25/1999
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	11/05/2025
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	11/05/2025
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/1999
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	09/25/1999
<b>B</b> Alabama	Agent	Approved	11/24/2004
<b>B</b> Arizona	Agent	Approved	09/25/1999
<b>B</b> California	Agent	Approved	01/02/2001
<b>B</b> Colorado	Agent	Approved	08/05/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	09/25/1999
B	Georgia	Agent	Approved	11/25/2008
B	Hawaii	Agent	Approved	03/19/2013
B	Idaho	Agent	Approved	07/24/2020
B	Illinois	Agent	Approved	09/25/1999
B	Iowa	Agent	Approved	09/10/2019
B	Michigan	Agent	Approved	09/25/1999
IA	Michigan	Investment Adviser Representative	Approved	10/12/2010
B	Montana	Agent	Approved	10/14/2024
B	Nebraska	Agent	Approved	09/12/2005
B	Nevada	Agent	Approved	02/13/2017
B	New York	Agent	Approved	07/21/2010
B	North Carolina	Agent	Approved	11/24/2004
B	Ohio	Agent	Approved	06/22/2007
B	Oregon	Agent	Approved	06/21/2022
B	Texas	Agent	Approved	01/04/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	12/10/2019
B	Virginia	Agent	Approved	03/23/2010



## Qualifications

### Branch Office Locations

**RAYMOND JAMES & ASSOCIATES, INC.**  
4215 FASHION SQUARE BLVD.  
SUITE 1  
SAGINAW, MI 48603



## 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, 2 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
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<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b>	General Securities Representative Examination (S7)	Series 7	08/18/1984
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b>	Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1995
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<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	09/27/1984
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### 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	05/11/1998 - 09/25/1999	RONEY & CO.	CRD# 45091	DETROIT, MI
B	10/22/1993 - 05/11/1998	RONEY & CO. L.L.C.	CRD# 900	DETROIT, MI
B	07/31/1993 - 11/12/1993	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	02/15/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	01/25/1985 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	08/22/1984 - 02/11/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

#### 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
09/1999 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Mass Transfer	Y	ST. PETERSBURG, FL, United States
10/1993 - Present	RONEY & CO.	OTHER - Representative	Y	SAGINAW, MI, 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) SPECIAL NEEDS VISION CLINIC - BOARD MEMBER / OFFICER/ DIRECTOR; 5 HRS PER MTH, 5 HRS PER MTH DURING BSNS HRS DEVOTED TO BUSINESS

(2) OUR LADY OF PERPETUAL HELP SCHOOL ENDOWMENT FUND - BOARD MEMBER / OFFICER/ DIRECTOR; 5 HRS PER MTH, 5 HRS PER MTH DURING BSNS HRS DEVOTED TO BUSINESS

(3)Name of Business : Catholic Community Foundation of Mid-michigan  
Address: Saginaw, MI  
Nature of the Business: Non Profit Org. - Founder/Leadership  
Position/Title: Trustee  
Investment Related:Yes  
Start Date: 02/23/2010



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Hours per month devoted to this business: 4

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

Description of duties: Attend quarterly CCFMM Board meetings and review agenda items. Support the CCFMM Mission, a nonprofit organization that distributes over one million dollars in support of the ministries of the Catholic Diocese throughout the community.

(4) Name of Business : JRS Biodiversity Foundation

Address: Seattle, WA

Nature of the Business: Non Profit Org. - Founder/Leadership

Position/Title: Officer - Treasurer

Investment Related: Yes

Start Date: 11/01/2010

Hours per month devoted to this business: 8

Hours per month devoted to this business during trading hours: 2

Description of duties: To follow the policies and bylaws as established by the Board of Trustees of the JRS Biodiversity Foundation in accordance with Best Practice as well as Fiduciary Guidelines. I am not involved in the advisement investment of the funds.

(5) Name of Business : St Peter Parish Endowment Fund

Address: Chesaning, MI

Nature of the Business: Non Profit Org. - Founder/Leadership

Position/Title: Trustee

Investment Related: Yes

Start Date: 08/01/1998

Hours per month devoted to this business: 4

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

Description of duties: Meet quarterly to review performance of Endowment Funds as well as allocate and distribution funds as needed and allowed through the trust document.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	RAYMOND JAMES & ASSOCIATES, INC.
<b>Allegations:</b>	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED OVER 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE** **SUITABILITY** PRIMARY OBJECTIVE OF GROWTH WITH MODERATE RISK BUT PUT IN 3 MUTUAL FUNDS, WITH NO CONSIDERATION OF BREAKPOINTS, AND LOST 54%. NO SPECIFIC DOLLAR AMOUNT ALLEGED. FIRM ESTIMATES DAMAGE OVER \$5,000.
<b>Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	MUTUAL FUNDS (OPEN END)
<b>Alleged Damages:</b>	\$5,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/20/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	08/16/2002
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



**Broker Statement**

**\*\*UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED OVER 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE\*\*** CLIENT DESIRED DIVERSIFIED MANAGED FUNDS FOR GROWTH. I (MS. ELLEN MARTZ) SUGGESTED INVESTMENTS BASED ON PAST PERFORMANCE AND CURRENT MARKET CONDITIONS. I PROVIDED PROSPECTUSES FOR EACH FUND FAMILY, AS WELL AS HYPOTHETICAL ILLUSTRATIONS, PERFORMANCE AND COMMENTARY SHEETS, MORNINGSTAR REPORTS AND STANDARD & POOR'S REPORTS. INFORMATION ON STANDARD DEVIATION, PAST PERFORMANCE, CURRENT TOP PORTFOLIO HOLDING AND APPLICABLE SALES CHARGE, WAS ALSO PROVIDED. ON APRIL 19, 2000, CLIENT INVESTED \$45,000 INTO FOUR DIFFERENT FUNDS (\$15,000 AIM CHARTER, \$10,000 INTO PIMCO INNOVATION, MUNDER NET AND AIM CONSTELLATION). CLIENT MET AIM BREAKPOINT - PIMCO'S BREAKPOINT STARTS AT \$50,000. RECOMMENDATIONS TO INVEST WERE APPROPRIATE BASED ON CUSTOMER'S INVESTMENT OBJECTIVES. THE ACTUAL PERFORMAMANCE IS DOWN 32%, NOT THE 54% STATED (\$45,000 WAS INVESTED AND \$21,636 IS CURRENTLY IN THE MONEY MARKET BALANCE). HAD THE CUSTOMER INVESTED IN THE FOUR FUNDS I FIRST MENTIONED IN MARCH 2000, THE PERFORMANCE WOULD BE APPROXIMATELY THE SAME AS THE PERFORMANCE EXPERIENCED. THE FUNDS WERE JANUS GLOBAL TECHNOLOGY, VANGUARD GROTH & INCOME, FIDELITY MAGELLAN, AND THE ARTISAN INTERNATIONAL FUND.



## End of Report

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