IAPD Report

RANDOLPH BRUCE FEUSNER

CRD# 1344836

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

RANDOLPH BRUCE FEUSNER (CRD# 1344836)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	03/30/1999
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/24/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ	03/08/1985 - 06/16/1999
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	NEWARK, NJ	03/30/1999 - 04/21/1999

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 **38** 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	03/30/1999
B	FINRA	Invest. Co and Variable Contracts	Approved	04/26/1999
B	FINRA	Investment Co./Variable Contracts Prin	Approved	04/26/1999
B	FINRA	General Securities Sales Supervisor	Approved	09/19/2005
B	Alabama	Agent	Approved	04/23/2024
B	Alaska	Agent	Approved	04/15/2020
B	Arizona	Agent	Approved	01/17/2002
B	Arkansas	Agent	Approved	06/24/2026
B	California	Agent	Approved	04/07/1999
B	Colorado	Agent	Approved	01/03/2006
B	Florida	Agent	Approved	04/01/2005
B	Georgia	Agent	Approved	01/04/2016
B	Idaho	Agent	Approved	03/12/2008

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	06/02/2021
B	Iowa	Agent	Approved	10/03/2019
B	Kansas	Agent	Approved	08/17/2021
B	Kentucky	Agent	Approved	11/15/2024
B	Louisiana	Agent	Approved	06/12/2026
B	Maine	Agent	Approved	05/24/2021
B	Maryland	Agent	Approved	06/19/2007
B	Michigan	Agent	Approved	04/08/2024
B	Minnesota	Agent	Approved	11/10/2004
B	Mississippi	Agent	Approved	08/07/2023
B	Missouri	Agent	Approved	04/22/2024
B	Montana	Agent	Approved	03/30/1999
B	Nebraska	Agent	Approved	06/27/2006
B	Nevada	Agent	Approved	02/03/2015
B	New Mexico	Agent	Approved	06/20/2014
B	North Carolina	Agent	Approved	01/16/2018
B	North Dakota	Agent	Approved	09/25/2009
B	Ohio	Agent	Approved	11/17/2016
B	Oklahoma	Agent	Approved	01/03/2007

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	02/14/2007
B	Pennsylvania	Agent	Approved	09/02/2014
B	South Carolina	Agent	Approved	06/23/2014
B	South Dakota	Agent	Approved	01/30/2015
B	Texas	Agent	Approved	09/11/2014
B	Utah	Agent	Approved	03/30/1999
B	Virginia	Agent	Approved	07/02/2020
B	Washington	Agent	Approved	01/03/2007
B	Wisconsin	Agent	Approved	11/07/2018
B	Wyoming	Agent	Approved	03/30/1999

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
742 YELLOWSTONE AVE
CODY, WY 82414

RAYMOND JAMES FINANCIAL SERVICES
3012 4TH AVENUE N
SUITE A
BILLINGS, MT 59101

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	09/25/2019
IA	Wyoming	Investment Adviser Representative	Approved	08/24/2017

Qualifications

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
742 YELLOWSTONE AVENUE
CODY, WY 82414

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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/16/2005
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/11/2005
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/22/1995

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	09/08/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/02/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/08/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/03/1985

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	03/08/1985 - 06/16/1999	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	03/30/1999 - 04/21/1999	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	

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	Investment Advisor Rep	Y	CODY, WY, United States
03/1999 - Present	Raymond James Financial Services, Inc.	Not Provided	Y	Cody, WY, 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: RA4 Properties, LLC Address: 742 Yellowstone Ave. unit B, Cody, WY, 82414-9319, United States Activity Type: Business Owner Position/Title: Officer - President Investment Related: No Start Date: 04/20/2026 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Own a commercial lot for future small office building. My build a small 2000 square foot office once my lease runs out.
(2)Name of Business: Summit Point Wealth Partners Inc. Address: 742 Yellowstone Ave, Cody, WY, 82414, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 01/01/2020 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 2-10 Description of duties: This is the corporation that Tarra and I have for our partnership. We hold it out for our Montana clients some Wyo. clients and any joint business we together.
(3)Name of Business: Sun Mountain Flying, Llc Address: 742 Yellowstone Ave Unit B, Cody, WY, 82414-9319, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 08/31/2010 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Using LLC for an airplane purchase in the future for business use for meetings with clients in other communities. Currently the plane is being used as described.
(4)Name of Business: Sun Mountain Wealth Partners, Inc Address: 742 Yellowstone Ave, Cody, Wy, Cody, WY, 82414, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 05/20/2010 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 2-10 Description of duties: to pay wages and office expenses like rent and the purchase of furniture and office supplies etc.
(5)Name of Business: Sun Mountian Wealth Partners Address: 742 Yellowstone Ave Unit B, Cody, WY, 82414\n, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 06/24/2008 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 21-40 Description of duties: We use this as our DBA, pay bills and taxes but answer phone and advertise using the Raymond James only.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT INDICATED THAT MUTUAL FUND WAS MISREPRESENTED TO HIM, STATING THAT HE WOULD NOT HAVE PURCHASED THE FUND HAD HE KNOWN THAT THERE WAS AN ASSOCIATED REDEMPTION FEE. CLIENT SOUGHT TO HAVE LOSSES SUSTAINED DURING HOLDING PERIOD RESTORED TO HIM.
Product Type:	Mutual Fund(s)
Alleged Damages:	$19,500.00

Customer Complaint Information

Date Complaint Received:	11/13/2008
Complaint Pending?	No
Status:	Settled
Status Date:	12/01/2008
Settlement Amount:	$19,525.00
Individual Contribution Amount:	$19,525.00

End of Report

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