



IAPD Report

TODD STRAYER DELLINGER

CRD# 1357090

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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

TODD STRAYER DELLINGER (CRD# 1357090)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/16/2006
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	ST. PETERSBURG, FL	03/02/2006 - 01/02/2009
IA	PRIMEVEST FINANCIAL SERVICES, INC.	15340	LEBANON, PA	01/05/2004 - 02/15/2006
B	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN	05/10/2000 - 02/15/2006

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
Regulatory Event	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 **31** 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 Principal	Approved	02/16/2006
B	FINRA	General Securities Representative	Approved	02/16/2006
B	California	Agent	Approved	05/29/2025
B	Colorado	Agent	Approved	07/26/2007
B	Connecticut	Agent	Approved	09/02/2022
B	Delaware	Agent	Approved	04/08/2011
B	District of Columbia	Agent	Approved	10/22/2014
B	Florida	Agent	Approved	06/17/2011
B	Illinois	Agent	Approved	01/03/2013
B	Kansas	Agent	Approved	05/29/2025
B	Kentucky	Agent	Approved	01/02/2013
B	Maine	Agent	Approved	11/23/2021
B	Maryland	Agent	Approved	02/16/2006



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	08/20/2020
B Michigan	Agent	Approved	01/17/2014
B Minnesota	Agent	Approved	04/10/2023
B Missouri	Agent	Approved	04/20/2018
B Montana	Agent	Approved	12/17/2025
B New Jersey	Agent	Approved	03/13/2013
B New York	Agent	Approved	12/15/2006
B North Carolina	Agent	Approved	02/19/2014
B Ohio	Agent	Approved	01/09/2017
B Oregon	Agent	Approved	04/15/2015
B Pennsylvania	Agent	Approved	02/17/2006
B South Carolina	Agent	Approved	03/05/2018
B South Dakota	Agent	Approved	02/11/2025
B Tennessee	Agent	Approved	05/17/2024
B Texas	Agent	Approved	02/01/2013
B Vermont	Agent	Approved	09/23/2025
B Virginia	Agent	Approved	01/04/2013
B Washington	Agent	Approved	05/15/2024
B West Virginia	Agent	Approved	10/06/2022



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	05/14/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

101 MASONIC DRIVE
ELIZABETHTOWN, PA 17022

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 Pennsylvania	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

101 MASONIC DRIVE
ELIZABETHTOWN, PA 17022



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	06/28/2004

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	01/18/2006
B Corporate Securities Limited Representative Examination (S62)	Series 62	01/25/1995
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/04/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/15/2003
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	03/02/2006 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ST. PETERSBURG, FL
IA	01/05/2004 - 02/15/2006	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	LEBANON, PA
B	05/10/2000 - 02/15/2006	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	05/09/2000 - 05/10/2000	BISYS BROKERAGE SERVICES, INC.	CRD# 23302	ST. CLOUD, MN
B	12/09/1992 - 05/08/2000	T.H.E. FINANCIAL GROUP, LTD	CRD# 14720	MECHANICSBURG, PA
B	01/03/1989 - 11/28/1989	ASSET MANAGEMENT EQUITIES, LTD.	CRD# 21604	
B	10/09/1987 - 01/04/1989	FSC SECURITIES CORPORATION	CRD# 7461	
B	07/17/1986 - 01/04/1989	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	05/14/1987 - 11/11/1987	THE PLANNER'S SECURITIES GROUP, INC.	CRD# 16546	
B	04/07/1987 - 05/20/1987	HIBBARD BROWN & CO., INC.	CRD# 18246	
B	07/08/1986 - 08/01/1986	COLUMBIA ASSET MANAGEMENT CORP.	CRD# 16283	
B	04/19/1985 - 06/24/1986	ATLANTIC SECURITIES, INC.	CRD# 1128	

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	ELIZABETHTOWN, PA, United States
02/2006 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	ELIZABETHTOWN, PA, United States



Registration & Employment History



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: DDMP Investment Advisors, LLC Address: 101 Masonic Drive, Elizabethtown, PA, 17022, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 07/01/2006 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Branch Manager/ Financial Advisor

(2)Name of Business: DDMP Investment Advisors, LLC Address: 101 Masonic Drive, Elizabethtown, PA, 17022, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 03/01/2013 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Non-variable life insurance



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	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	PENNSYLVANIA CONTACT: JOSEPH MINISI (215)-560-2088
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	TODD S. DELLINGER AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.
Date Initiated:	06/23/2005
Docket/Case Number:	2005-02-14
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	INTERESTS
Allegations:	TODD S. DELLINGER VIOLATED THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.
Current Status:	Final
Resolution:	Settled
Resolution Date:	06/23/2005
Sanctions Ordered:	Monetary/Fine \$225,000.00
Other Sanctions Ordered:	
Sanction Details:	TODD S. DELLINGER AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE



Regulator Statement ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.
FINDINGS OF FACT, CONCLUSIONS OF LAW AND OTHER ISSUED TO TODD S. DELLINGER AND OTHER NAMED RESPONDENTS.

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Reporting Source: Individual

Regulatory Action Initiated By: PENNSYLVANIA SECURITIES COMMISSION

Sanction(s) Sought: Other

Other Sanction(s) Sought: SELLING OF UNREGISTERED SECURITIES

Date Initiated: 05/20/2004

Docket/Case Number: 2005-02-14

Employing firm when activity occurred which led to the regulatory action: T.H.E. FINANCIAL GROUP, LTD.

Product Type: Other

Other Product Type(s): VIATICAL SETTLEMENT

Allegations: THE SALE OF VIATICATED INSURANCE POLICIES

Current Status: Final

Resolution: Other

Resolution Date: 06/23/2005

Sanctions Ordered: Monetary/Fine \$225,000.00

Other Sanctions Ordered: GLOBAL SETTLEMENT PAY ON BEHALF OF 39 AGENTS AND FORMER BROKER DEALER.

Sanction Details: IN CONNECTION GLOBAL SETTLEMENT FORMER BROKER DEALER PAID ALL ADMINSTRATIVE ASSESSMENT AND INVESTIGATIVE COSTS ON 39 AGENTS WHO SOLD VIATICATED INSURANCE PRODUCTS IN PENNSYLVANIA.

Broker Statement THIS WAS RESOLVED BY GLOBAL SETTLEMENT WITH ALL AGENTS AND BROKER DEALER. PRODUCTS SOLD WERE ON FORMER BROKER DEALERS APPROVED PRODUCT LIST. FORMER BROKER DEALER PAID ADMINSTRATIVE ASSESSMENT AND COST, WITHOUT ADMITTING OR DENY ALLEGATION. REGISTRANT CONSENTED TO ORDER.



End of Report

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