



IAPD Report

JOHN CHARLES FERGUSON

CRD# 1451570

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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

JOHN CHARLES FERGUSON (CRD# 1451570)

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 **06/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/09/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/10/2022

QUALIFICATIONS

This representative is currently registered in **9** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	MONROEVILLE, PA	09/08/2016 - 03/14/2022
B	WELLS FARGO CLEARING SERVICES, LLC	19616	MONROEVILLE, PA	03/06/2009 - 03/14/2022
B	CITIGROUP GLOBAL MARKETS INC.	7059	MONROEVILLE, PA	03/09/2000 - 03/26/2009

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	4



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 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 FINRA	General Securities Representative	Approved	03/09/2022
B Investors' Exchange LLC	General Securities Representative	Approved	06/30/2025
B MEMX LLC	General Securities Representative	Approved	06/30/2025
B NYSE American LLC	General Securities Representative	Approved	03/09/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	06/30/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	06/30/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/09/2022
B Nasdaq Stock Market	General Securities Representative	Approved	03/09/2022
B New York Stock Exchange	General Securities Representative	Approved	03/09/2022
B Arizona	Agent	Approved	03/09/2022
B California	Agent	Approved	03/09/2022
B Colorado	Agent	Approved	03/10/2022
B Connecticut	Agent	Approved	03/09/2022



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	03/09/2022
B Florida	Agent	Approved	03/09/2022
B Georgia	Agent	Approved	03/09/2022
B Idaho	Agent	Approved	04/14/2023
B Illinois	Agent	Approved	03/10/2022
B Indiana	Agent	Approved	03/18/2022
B Iowa	Agent	Approved	03/09/2022
B Kentucky	Agent	Approved	06/05/2024
B Maine	Agent	Approved	02/20/2025
B Maryland	Agent	Approved	03/09/2022
B Massachusetts	Agent	Approved	03/10/2022
B Michigan	Agent	Approved	03/09/2022
B Minnesota	Agent	Approved	08/19/2024
B New Jersey	Agent	Approved	03/09/2022
B New York	Agent	Approved	03/09/2022
B North Carolina	Agent	Approved	03/21/2022
B Ohio	Agent	Approved	03/09/2022
B Pennsylvania	Agent	Approved	03/10/2022
IA Pennsylvania	Investment Adviser Representative	Approved	03/10/2022



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	03/15/2022
IA South Carolina	Investment Adviser Representative	Approved	08/28/2024
B Tennessee	Agent	Approved	03/09/2022
B Texas	Agent	Approved	03/09/2022
IA Texas	Investment Adviser Representative	Restricted Approval	03/10/2022
B Virginia	Agent	Approved	03/10/2022
B West Virginia	Agent	Approved	03/09/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
3824 Northern Pike
1 Monroeville Center, Suite 950
Monroeville, PA 15146

RAYMOND JAMES & ASSOCIATES, INC.
Allison Park, PA

RAYMOND JAMES & ASSOCIATES, INC.
Hilton Head Island, SC



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/10/1991

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	09/22/2005
	General Securities Representative Examination (S7)	Series 7	02/15/1986

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/2000
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1986

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	09/08/2016 - 03/14/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MONROEVILLE, PA
B	03/06/2009 - 03/14/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MONROEVILLE, PA
B	03/09/2000 - 03/26/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MONROEVILLE, PA
B	10/01/1999 - 03/21/2000	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	01/01/1996 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	12/18/1995 - 12/20/1995	VTR CAPITAL, INC.	CRD# 21404	NEW YORK, NY
B	08/03/1994 - 11/21/1995	L.C. WEGARD & CO., INC.	CRD# 3722	NEW YORK, NY
B	06/01/1988 - 08/22/1994	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY
B	07/27/1994 - 07/28/1994	VTR CAPITAL, INC.	CRD# 21404	NEW YORK, NY
B	10/09/1987 - 06/09/1988	F.N. WOLF & CO., INC.	CRD# 13051	
B	03/19/1986 - 10/09/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
03/2022 - Present	Raymond James and Associates, Inc.	Registered Representative	Y	Monroeville, PA, United States
11/2016 - 03/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MONROEVILLE, PA, United States
03/2009 - 03/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	N	Monroeville, PA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MONROEVILLE, PA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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: 94 Forest Drive, LLC Address: 2632 Carriage House, Allison Park, PA, 15101, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 04/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:



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	4

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 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CGMI

Allegations: CLAIMANTS ALLEGE, INTER ALIA, THAT FROM MAY 2008 TO SEPTEMBER 2008 THE FA USED INCORRECT AND MISLEADING INFORMATION TO INDUCE THE CLAIMANTS INTO INVESTING IN FANNIE MAE SHARES WHICH WERE UNSUITABLE FOR THEM.

Product Type: Equity Listed (Common & Preferred Stock)
Other: FANNIE MAE

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01001

Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2011

Customer Complaint Information

Date Complaint Received: 04/05/2011



Complaint Pending? No
Status: Settled
Status Date: 03/06/2012
Settlement Amount: \$90,000.00
Individual Contribution Amount: \$0.00
Firm Statement THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES, WITH NO ADMISSION OF LIABILITY BY THE FIRM OR BROKER. BROKER DID NOT CONTRIBUTE TO SETTLEMENT.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CGMI
Allegations: CLAIMANTS ALLEGE, INTER ALIA, THAT FROM MAY 2008 TO SEPTEMBER 2008 THE FA USED INCORRECT AND MISLEADING INFORMATION TO INDUCE THE CLAIMANTS INTO INVESTING IN FANNIE MAE SHARES WHICH WERE UNSUITABLE FOR THEM.
Product Type: Equity Listed (Common & Preferred Stock)
Other: FANNIE MAE
Alleged Damages: \$500,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 11-01001
Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2011

Customer Complaint Information

Date Complaint Received: 04/05/2011
Complaint Pending? No
Status: Settled
Status Date: 03/06/2012
Settlement Amount: \$90,000.00
Individual Contribution Amount: \$0.00
Broker Statement THIS ARBITRATION WAS FILED AFTER I LEFT MY FORMER FIRM. THE MATTER WAS SETTLED BY MY FORMER FIRM SOLELY FOR BUSINESS REASONS WITHOUT MY PARTICIPATION. I CATEGORICALLY DENY ANY ALLEGATIONS OF WRONGDOING. AT ALL TIMES I SERVICED THE CLIENT'S



ACCOUNTS APPROPRIATELY. MY FORMER FIRM RESOLVED THIS CLAIM WITH NO ADMISSIONS OF LIABILITY AND I WAS NOT ASKED TO CONTRIBUTE ANYTHING TO THE SETTLEMENT

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT VERBALLY ALLEGED MISREPRESENTATION AND FAILURE TO DISCLOSE FEES ON AN ANNUITY -NOVEMBER 2001. DAMAGES UNSPECIFIED.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/15/2002

Complaint Pending? No

Status: Settled

Status Date: 03/15/2002

Settlement Amount: \$28,374.00

Individual Contribution Amount: \$28,374.00

Broker Statement THE CLAIM WAS SETTLED FOR \$28,734.00

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENTS ALLEGED THAT THERE WAS UNSUITABLE AND EXCESSIVE TRADING DONE IN THEIR ACCOUNT - 2000. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/27/2002

Complaint Pending? No

Status: Settled

Status Date: 02/10/2003

Settlement Amount: \$13,000.00

Individual Contribution \$0.00



Individual Contribution Amount:	\$0.00
Broker Statement	AFTER FURTHER REVIEW, THE CLAIM WAS SETTLED FOR \$13,000.
Disclosure 4 of 4	
Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	HIBBARD BROWN & CO.
Allegations:	MISREPRESENTATION; EXECUTIONS-FAILURE TO EXECUTE; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$3,079.81
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-04260
Date Notice/Process Served:	11/15/1993
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/07/1995
Disposition Detail:	RESPONDENTS PALMIERI, GOODMAN, CHESTER AND FERGUSON ARE JOINTLY AND SEVERALLY LIABLE TO CLAIMANT IN THE AMOUNT OF \$3,079.81 PLUS INTEREST AT THE RATE OF 6% PER ANNUM FROM THE DATE OF THIS AWARD UNTIL PAID. REQUEST FOR PUNITIVE DAMAGES IS DENIED.
.....	
Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HIBBARD BROWN & CO.
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION AGAINST APPLICANT WHILE EMPLOYED WITH FORMER FIRM RESULTING IN DAMAGES OF \$3,079.81.
Product Type:	
Alleged Damages:	\$3,079.81
Customer Complaint Information	
Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/07/1995
Settlement Amount:	



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD; 93-04260

Date Notice/Process Served: 11/15/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/07/1995

**Monetary Compensation
Amount:** \$3,079.81

**Individual Contribution
Amount:** \$769.95

Broker Statement AWARD WAS GRANTED IN THE AMOUNT OF \$3,079.81 OF
WHICH MR. FERGUSON PAID \$769.95 (ONE FOURTH).
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End of Report

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