



IAPD Report

ROBERT LYNN MITCHELL

CRD# 1523211

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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

ROBERT LYNN MITCHELL (CRD# 1523211)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/15/2025
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/15/2025

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FRISCO, TX	03/22/2021 - 09/03/2025
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FRISCO, TX	02/25/2021 - 09/03/2025
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FRISCO, TX	02/25/2021 - 02/26/2021

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
Termination	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 **17** 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	08/15/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	08/15/2025
B	MEMX LLC	General Securities Representative	Approved	08/15/2025
B	NYSE American LLC	General Securities Representative	Approved	08/15/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/15/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/15/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/15/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	08/15/2025
B	New York Stock Exchange	General Securities Representative	Approved	08/15/2025
B	Alabama	Agent	Approved	09/03/2025
B	Arizona	Agent	Approved	08/15/2025
B	Arkansas	Agent	Approved	09/16/2025
B	California	Agent	Approved	08/15/2025



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	08/15/2025
B Florida	Agent	Approved	08/15/2025
B Illinois	Agent	Approved	09/23/2025
B Indiana	Agent	Approved	08/29/2025
B Iowa	Agent	Approved	09/08/2025
B Louisiana	Agent	Approved	08/15/2025
B Nevada	Agent	Approved	08/15/2025
B New York	Agent	Approved	08/15/2025
B North Carolina	Agent	Approved	09/05/2025
B Oklahoma	Agent	Approved	08/18/2025
B South Carolina	Agent	Approved	08/15/2025
B Texas	Agent	Approved	08/15/2025
IA Texas	Investment Adviser Representative	Approved	08/15/2025
B Utah	Agent	Approved	08/15/2025

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
6303 Cowboys Way
Suite 425
Frisco, TX 75034



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, 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	02/12/2004
 General Securities Representative Examination (S7)	Series 7	08/16/1986

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/30/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/03/1987

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	03/22/2021 - 09/03/2025	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FRISCO, TX
B	02/25/2021 - 09/03/2025	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FRISCO, TX
IA	02/25/2021 - 02/26/2021	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FRISCO, TX
B	06/01/2009 - 02/22/2021	MORGAN STANLEY	CRD# 149777	PLANO, TX
IA	06/01/2009 - 02/22/2021	MORGAN STANLEY	CRD# 149777	PLANO, TX
B	04/03/2009 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANO, TX
IA	04/03/2009 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANO, TX
B	07/01/2003 - 04/07/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	PLANO, TX
IA	07/01/2003 - 04/07/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	PLANO, TX
B	02/18/1992 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	02/18/1992 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PLANO, TX
B	11/07/1986 - 02/27/1992	MCDONALD & COMPANY SECURITIES, INC.	CRD# 566	CLEVELAND, OH

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
08/2025 - Present	Raymond James & Associates, INC	Registered Representative	Y	Frisco, TX, United States
02/2021 - 08/2025	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Frisco, TX, United States
01/2015 - 02/2021	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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: Great Taste of Texas Holding Company Address: 501 Kiowa Drive W, Lake Kiowa, TX, 76240, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: No Start Date: 10/15/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Advisory Board Member



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
Termination	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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimant alleged, inter alia, FA solicited outside investment opportunities not authorized by firm - June 2015- December 2019
Product Type:	No Product
Alleged Damages:	\$180,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-00586
Date Notice/Process Served:	02/20/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/30/2020
Monetary Compensation Amount:	\$78,000.00
Individual Contribution Amount:	\$78,000.00



Civil Litigation Information

Type of Court:	State Court
Name of Court:	District Court
Location of Court:	Collin County, Texas
Docket/Case #:	429-00102-2020
Date Notice/Process Served:	01/08/2020
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/30/2020
Monetary Compensation Amount:	\$78,000.00
Individual Contribution Amount:	\$78,000.00
Broker Statement	Without admitting liability, the Broker settled the matter for \$78,000.00 to avoid the cost of further arbitration.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	CLIENTS ALLEGE FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO INVESTMENT GUIDELINES - JANUARY 2017 - MAY 2018. DAMAGES UNSPECIFIED.
Product Type:	Other: Managed/Wrap Accounts (In-House Money Manager)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/21/2018
Complaint Pending?	No
Status:	Denied
Status Date:	07/19/2018
Settlement Amount:	
Individual Contribution Amount:	

**Disclosure 3 of 4**

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGED, INTER ALIA, THAT RECOMMENDATION TO LIQUIDATE MUNICIPAL BONDS IN ACCOUNT AND PURCHASE A VARIABLE ANNUITY WAS UNSUITABLE - 2013

Product Type: Annuity-Variable
Debt-Municipal

Alleged Damages: \$450,000.00

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 #: 15-00669

Filing date of arbitration/CFTC reparation or civil litigation: 03/23/2015

Customer Complaint Information

Date Complaint Received: 03/31/2015

Complaint Pending? No

Status: Denied

Status Date: 03/21/2016

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: CLIENT ALLEGE LOSSES IN CONNECTION WITH THE PURCHASES OF FOUR BONDS AND THAT THEY WERE UNSUITABLE

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$19,000.00

Customer Complaint Information



Date Complaint Received: 04/19/2004

Complaint Pending? No

Status: Denied

Status Date: 08/23/2004

Settlement Amount:

Individual Contribution Amount:
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEGE LOSSES IN CONNECTION WITH THE PRUCHASES OF FOUR BONDS AND THAT THEY WERE UNSUITABLE.

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$19,000.00

Customer Complaint Information

Date Complaint Received: 04/19/2004

Complaint Pending? No

Status: Denied

Status Date: 08/23/2004

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	MSWM
Termination Type:	Discharged
Termination Date:	02/03/2021
Allegations:	Allegations related to the representative's involvement with an outside business
Product Type:	No Product
Firm Statement	NA

Reporting Source:	Individual
Firm Name:	MSWM
Termination Type:	Discharged
Termination Date:	02/03/2021
Allegations:	Allegations related to the representative's involvement with an outside business
Product Type:	No Product



End of Report

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