# IAPD Report

## WILLIAM PATRICK GAMBLE

CRD# 1524488


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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

## WILLIAM PATRICK GAMBLE (CRD# 1524488)

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 **06/25/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | TRUIST INVESTMENT SERVICES, INC. | CRD# 17499 | 02/17/2021 |
| IA | TRUIST ADVISORY SERVICES, INC. | CRD# 283390 | 02/17/2021 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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 | BB&T SECURITIES, LLC | 142785 | RICHMOND, VA | 03/14/2016 - 02/17/2021 |
| B | BB&T SECURITIES, LLC | 142785 | RICHMOND, VA | 03/03/2016 - 02/17/2021 |
| B | WELLS FARGO ADVISORS, LLC | 19616 | HOLLYWOOD, FL | 10/01/2000 - 03/11/2016 |

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 |
|---|---|
| Criminal | 1 |
| Customer Dispute | 3 |

# 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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 02/17/2021 |
| B | FINRA | General Securities Sales Supervisor | Approved | 02/17/2021 |
| B | Alaska | Agent | Approved | 02/17/2021 |
| B | Arkansas | Agent | Approved | 02/17/2021 |
| B | California | Agent | Approved | 03/14/2025 |
| B | Colorado | Agent | Approved | 02/14/2022 |
| B | Connecticut | Agent | Approved | 02/17/2021 |
| B | District of Columbia | Agent | Approved | 12/18/2023 |
| B | Florida | Agent | Approved | 02/17/2021 |
| B | Georgia | Agent | Approved | 02/17/2021 |
| B | Illinois | Agent | Approved | 02/01/2022 |
| B | Kentucky | Agent | Approved | 02/17/2021 |
| B | Louisiana | Agent | Approved | 02/17/2021 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Maryland | Agent | Approved | 04/12/2022 |
| B | Michigan | Agent | Approved | 02/17/2021 |
| B | New Jersey | Agent | Approved | 02/17/2021 |
| B | New York | Agent | Approved | 05/03/2022 |
| B | North Carolina | Agent | Approved | 02/17/2021 |
| B | Pennsylvania | Agent | Approved | 02/17/2021 |
| B | Puerto Rico | Agent | Approved | 04/14/2025 |
| B | Tennessee | Agent | Approved | 11/04/2021 |
| B | Texas | Agent | Approved | 02/17/2021 |
| B | Virginia | Agent | Approved | 05/31/2023 |
| B | Wisconsin | Agent | Approved | 12/22/2022 |

### Branch Office Locations

**SUNTRUST INVESTMENT SERVICES, INC.**
FORT LAUDERDALE, FL

**SUNTRUST INVESTMENT SERVICES, INC.**
515 E LAS OLAS BLVD
FL 7
FORT LAUDERDALE, FL 33301

## Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 283390

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Florida | Investment Adviser Representative | Approved | 02/17/2021 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Texas | Investment Adviser Representative | Restricted Approval | 04/15/2021 |

### Branch Office Locations

**TRUIST ADVISORY SERVICES, INC.**
515 E LAS OLAS BLVD
FL 7
FORT LAUDERDALE, FL 33301

# 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 - General Module Examination (S10) | Series 10 | 01/02/2023 |
| B | General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 01/02/2023 |
| B | General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 05/09/1990 |

### 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 | 04/25/1987 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 07/24/1986 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 03/10/1993 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/16/1986 |

## 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 |
|---|---|---|---|---|
| IA | 03/14/2016 - 02/17/2021 | BB&T SECURITIES, LLC | CRD# 142785 | RICHMOND, VA |
| B | 03/03/2016 - 02/17/2021 | BB&T SECURITIES, LLC | CRD# 142785 | RICHMOND, VA |
| B | 10/01/2000 - 03/11/2016 | WELLS FARGO ADVISORS, LLC | CRD# 19616 | HOLLYWOOD, FL |
| IA | 10/01/2000 - 03/11/2016 | WELLS FARGO ADVISORS, LLC | CRD# 19616 | HOLLYWOOD, FL |
| B | 02/09/1996 - 10/01/2000 | FIRST UNION BROKERAGE SERVICES, INC. | CRD# 8112 | CHARLOTTE, NC |
| B | 09/10/1987 - 01/01/1996 | FIDELITY BROKERAGE SERVICES, INC. | CRD# 7784 | SMITHFIELD, RI |
| B | 07/25/1986 - 02/06/1987 | FIDELITY DISTRIBUTORS CORPORATION | CRD# 6848 | |

## 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 |
|---|---|---|---|---|
| 02/2021 - Present | TRUIST ADVISORY SERVICES, INC. | ADVISOR | Y | FT LAUDERDALE, FL, United States |
| 02/2021 - Present | TRUIST INVESTMENT SERVICES, INC. | FINANCIAL ADVISOR | Y | FT LAUDERDALE, FL, United States |
| 03/2016 - 02/2021 | BB&T Securities, LLC | Fnancial Advisor | Y | Ft. Lauderdale, FL, 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.) GAMBLE 610 LLC: START DATE APPROX 6/1/10, INV RELATED, NOT PUBLICLY TRADED, 610 SW 10TH ST FORT LAUDERDALE, FL, 33315, 100% OWNER OF DUPLEX, RENTS OUT HALF SOMETIMES, APPROX 1 HOURS PER MONTH/0 DURING TRADING HRS, DUTIES: LANDLORD, NOT RECEIVING COMP AT THIS TIME, RECEIVES RENTAL INCOME WHEN RENTING.
2.) RENTAL PROPERTY THROUGH GAMBLE 610 LLC, 2000 S OCEAN BLVD FORT LAUDERDALE, FL, 33316, NOT INV RELATED, 1 HR/MO NOT DURING WORK, ~$2000/MONTH IN RENT.

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

JMM STABLES
POSITION: member NATURE: Thoroughbred horse racing INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 08/23/2021
ADDRESS: , Chicago IL , United States
DESCRIPTION: We will decide whether to claima horse sell or run them

 

# 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 |
|---|---|
| Criminal | 1 |
| Customer Dispute | 3 |

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Formal Charges were brought in:** | State Court |
| **Name of Court:** | Circuit Court - 17th Judicial Circuit |
| **Location of Court:** | Broward County, Florida |
| **Docket/Case #:** | 96021661CF10A |
| **Charge Date:** | 11/13/1996 |
| **Charge(s) 1 of 1** | |
| **Formal Charge(s)/Description:** | Possession of Cocaine |
| **No of Counts:** | 1 |
| **Felony or Misdemeanor:** | Felony |
| **Plea for each charge:** | N/A |
| **Disposition of charge:** | Dismissed |
| **Current Status:** | Final |
| **Status Date:** | 03/03/1998 |
| **Disposition Date:** | 03/03/1998 |
| **Sentence/Penalty:** | Dismissed |
| **Broker Statement** | The subject charge, over eighteen years old, was dismissed by the court. |

## 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 3

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | WELLS FARGO CLEARING SERVICES, LLC |
| **Allegations:** | Claimant alleges unauthorized transactions regarding two corporate bonds which resulted the bonds being liquidated and the proceeds being transferred to an unknown account. |
| **Product Type:** | Other: Miscellaneous |
| **Alleged Damages:** | $0.00 |
| **Alleged Damages Amount Explanation (if amount not exact):** | Claimant demands an award against Wells Fargo Clearing Services LLC for relief this Panel deems just and proper. |
| **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 #:** | 22-01279 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 06/09/2022 |

### Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 06/09/2022 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 03/17/2023 |
| **Settlement Amount:** | $15,000.00 |
| **Individual Contribution Amount:** | $0.00 |
| **Firm Statement** | Without admitting any liability, Respondent has agreed to pay Claimant $15,000.00 to avoid further costs and time. |

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| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when** | WELLS FARGO CLEARING SERVICES, LLC |

| | |
|---|---|
| **activities occurred which led to the complaint:** | |
| **Allegations:** | CLAIMANT ALLEGES UNAUTHORIZED TRANSACTIONS REGARDING TWO CORPORATE BONDS WHICH RESULTED THE BONDS BEING LIQUIDATED AND THE PROCEEDS BEING TRANSFERRED TO AN UNKNOWN ACCOUNT. |
| **Product Type:** | Other: MISCELLANEOUS |
| **Alleged Damages:** | $0.00 |
| **Alleged Damages Amount Explanation (if amount not exact):** | CLAIMANT DEMANDS AN AWARD AGAINST WELLS FARGO CLEARING SERVICES LLC FOR RELIEF THIS PANEL DEEMS JUST AND PROPER |
| **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 #:** | 22-01279 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 06/09/2022 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 06/09/2022 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 03/19/2023 |
| **Settlement Amount:** | $15,000.00 |
| **Individual Contribution Amount:** | $0.00 |

### Disclosure 2 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | WACHOVIA SECURITIES, LLC. |
| **Allegations:** | FLORIDA RESIDENT CLAIMS PURCHASES OF EVERGREEN OMEGA IN FEBURARY 2000 AND FIDELITY ADVISORS EQUITY IN SEPTEMBER 1999 WERE UNAUTHORIZED. DOES NOT SPECIFY DAMAGES, BUT LOSSES IN THOSE TWO FUNDS ARE APPROXIMATELY $23,000. |
| **Product Type:** | Mutual Fund(s) |
| **Alleged Damages:** | $23,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 11/03/2003 |
| **Complaint Pending?** | No |

 

**Status:** Denied

**Status Date:** 11/21/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLAIM DENIED. CLIENT ACKNOWLEDGES SEEING TRADES ON NEXT MONTHLY STATEMENT, AND DID NOT RAISE ISSUE OF TRADES BEING UNAUTHORIZED FOUR YEARS AGO. RECOMMENDATIONS WERE CONSISTENT WITH CLIENT'S INVESTMENT OBJECTIVES.

### Disclosure 3 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** FIRST UNION BROKERAGE SERVICES, INC.

**Allegations:** CLIENT ALLEGED THEY WERE NOT AWARE THE CD'S PURCHASED WERE FOR 15 YEARS.

**Product Type:** CD(s)

**Other Product Type(s):** BROKERED CD(S)

**Alleged Damages:** $16,936.00

## Customer Complaint Information

**Date Complaint Received:** 07/07/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/04/2000

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** BASED ON REVIEW - CLIENT WAS PROVIDED FULL DISCLOSURE - FOUND NO WRONG DOING. NO FURTHER ACTION.

## End of Report

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