IAPD Report

WILLIAM BRUCE BODY

CRD# 1547342

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

WILLIAM BRUCE BODY (CRD# 1547342)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	11/21/1995
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	11/28/1995

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **30** 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	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO	08/21/1986 - 11/17/1995

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	5

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 **30** 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	11/21/1995
B	FINRA	General Securities Sales Supervisor	Approved	09/11/1997
B	FINRA	General Securities Principal	Approved	05/30/2001
B	FINRA	Registered Options Principal	Approved	08/24/2007
B	FINRA	Operations Professional	Approved	11/11/2011
B	Investors' Exchange LLC	General Securities Principal	Approved	10/31/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	10/31/2025
B	MEMX LLC	General Securities Principal	Approved	10/31/2025
B	MEMX LLC	General Securities Representative	Approved	10/31/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	10/31/2025
B	MEMX LLC	Registered Options Principal	Approved	10/31/2025
B	NYSE American LLC	General Securities Representative	Approved	12/19/1995
B	NYSE American LLC	Registered Options Principal	Approved	08/10/2004

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Principal	Approved	08/24/2007
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Principal	Approved	10/31/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/31/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/31/2025
B	NYSE Arca, Inc.	Registered Options Principal	Approved	10/31/2025
B	NYSE Texas, Inc.	General Securities Principal	Approved	10/31/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/31/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/31/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/21/1995
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/11/1997
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	08/24/2007
B	Nasdaq PHLX LLC	General Securities Principal	Approved	10/31/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	Nasdaq Stock Market	Registered Options Principal	Approved	03/28/2008
B	New York Stock Exchange	General Securities Representative	Approved	11/22/1995
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010

Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	10/05/2015
B	Arizona	Agent	Approved	05/29/2015
B	California	Agent	Approved	03/12/1996
B	Colorado	Agent	Approved	01/02/2008
B	Delaware	Agent	Approved	01/10/2017
B	District of Columbia	Agent	Approved	05/20/2015
B	Florida	Agent	Approved	11/28/1995
IA	Florida	Investment Adviser Representative	Approved	11/28/1995
B	Georgia	Agent	Approved	07/28/2005
B	Illinois	Agent	Approved	01/24/2011
B	Indiana	Agent	Approved	01/02/2004
B	Kentucky	Agent	Approved	10/21/2010
B	Maryland	Agent	Approved	05/21/2015
B	Massachusetts	Agent	Approved	05/20/2015
B	Michigan	Agent	Approved	08/14/2009
B	Minnesota	Agent	Approved	02/01/2022
B	Nevada	Agent	Approved	04/12/2013
B	New Jersey	Agent	Approved	03/04/1996

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	02/22/2018
B	New York	Agent	Approved	01/02/2008
B	North Carolina	Agent	Approved	10/12/2009
B	Ohio	Agent	Approved	11/21/1995
B	Oregon	Agent	Approved	05/19/2015
B	Pennsylvania	Agent	Approved	04/15/2010
B	South Carolina	Agent	Approved	05/19/2015
B	Tennessee	Agent	Approved	01/14/2011
B	Texas	Agent	Approved	02/10/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	06/13/2011
B	Vermont	Agent	Approved	01/03/2005
B	Virginia	Agent	Approved	01/06/2015
B	Washington	Agent	Approved	05/21/2013
B	Wisconsin	Agent	Approved	03/18/2010

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
8120 LAKEWOOD MAIN STREET
SUITE 201
LAKEWOOD RANCH, FL 34202

RAYMOND JAMES & ASSOCIATES, INC.
Palmetto, FL

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	Registered Options Principal Examination (S4)	Series 4	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	05/29/2001
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/02/1997

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	06/09/2003
B	General Securities Representative Examination (S7)	Series 7	08/16/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/19/1986

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
B	08/21/1986 - 11/17/1995	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO

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
11/1995 - Present	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	BRADENTON, 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)Name of Business: Herrig Center for the Arts Address: 209 9th Street West, Bradenton, FL, 34205, United States Activity Type: Non profit Position/Title: Director Investment Related: Yes Start Date: 04/11/2012 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Currently serving as Treasurer of the Board of Directors
(2)Name of Business: Tollis Enterprises, Inc. Address: 2220 Stickney Point Road, Unit 537, Sarasota, FL, 34231, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 10/01/2005 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Emergency Check Writing.\n\nConsult with other owner-partner David Tollis when he asks.

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	Client alleges the financial advisor did not implement a sound investment strategy and mismanaged account. Allegation Activity Dates: 3/24/2015 - 3/07/2024.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$64,150.42
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:	03/22/2024
Complaint Pending?	No
Status:	Denied
Status Date:	04/01/2024
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James and Associates
Allegations:	**Update - This disclosure is no longer reportable on the current U4 because it is over 24 months and did not settle for $15,000 or more.** Client is alleging poor performance in her account and unsuitable investments from 2/26/2010-1/12/2016
Product Type:	Direct Investment-DPP & LP Interests Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$9,037.09
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:	01/15/2016
Complaint Pending?	No
Status:	Denied
Status Date:	02/10/2016
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	**Update - This disclosure is no longer reportable on the current U4 because it is over 24 months and did not settle for $15,000 or more.**

Disclosure 3 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS - DATES OF ACTIVITY ARE 09/12/08 THRU 9/12/08.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATE IN EXCESS OF $5,000.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/23/2009
Complaint Pending?	No
Status:	Settled
Status Date:	09/23/2009
Settlement Amount:	$26,220.27
Individual Contribution Amount:	$7,122.05
Broker Statement	DUE TO AN ADMINISTRATIVE OVERSIGHT, THE CLIENTS FUNDS (SUBCCOUNTS WITHIN A VARIABLE ANNUITY) WERE NOT REPOSITIONED AS REQUESTED. ONCE THE MISTAKE WAS IDENTIFIED THE ERROR WAS CORRECTED AND THE CLIENTS ACCOUNT CREDITED FOR THE LOSS AMOUNT. THIS WAS SIMPLY AN ERROR (ADMINISTRATIVE) BY THE FINANCIAL ADVISOR.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS. CLIENT ALLEGES FA DID NOT ENTER STOP-LOSS ORDERS. NO DOLLAR AMOUNT SPECIFIED; FIRM ESTIMATES $5000 OR OVER.
Product Type:	Equity - OTC
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	06/18/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/21/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - FLORIDA (BOCA RATON) CASE# 03-05111
Date Notice/Process Served:	07/23/2003
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/04/2004
Monetary Compensation Amount:	$9,999.00

Individual Contribution Amount: $0.00

Broker Statement **UPDATE COMPLAINT EVOLVED INTO ARBITRATION ON APPROX. 7/23/03 AFTER IT HAD BEEN CLOSED** FIRM DETERMINED NO ACTION ON APPROX. 2/21/03.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: **UPDATE - THIS COMPLAINT IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $10,000 OR MORE** SUITABILITY. CLIENT SAYS ACCT WAS MARGINED TOO HIGH AND THEN PAYING FOR WIRES CHARGES TRADES HE WOULD HAVE MADE MONEY ON WERE CANCELLED BECAUSE OF MARGIN CALL RESTRICTIONS; ALSO HE WAS CHARGED FOR THOSE ORDERS THAT LOST MONEY. ALSO UNABLE TO SPEAK TO FA - ALWAYS BUSY. NO DOLLAR AMOUNT SPECIFIED; FIRM ESTIMATES $5000 OR OVER.

Product Type: Equity - OTC

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 02/21/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/21/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS COMPLAINT IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $10,000 OR MORE.

End of Report

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