



IAPD Report

MARK EDWARD RAUGUTH

CRD# 1564114

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

MARK EDWARD RAUGUTH (CRD# 1564114)

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 **11/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	IMMACULATE WEALTH MANAGEMENT, LLC	CRD# 167657	05/08/2013
B	GRADIENT SECURITIES, LLC	CRD# 127701	06/05/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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 ADVISORS, INC	149018	MESA, AZ	04/09/2009 - 03/27/2013
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	MESA, AZ	12/10/1997 - 03/27/2013
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	10/24/1986 - 12/15/1997

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	3
Termination	2



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

Employment 1 of 2

Firm Name: **GRADIENT WEALTH MANAGEMENT**
Main Address: 4105 LEXINGTON AVENUE N
SUITE 380
ARDEN HILLS, MN 55126
Firm ID#: 127701

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/05/2013
B FINRA	General Securities Principal	Approved	06/06/2013
B FINRA	Municipal Fund	Approved	06/06/2013
B Arizona	Agent	Approved	06/17/2013
B California	Agent	Approved	06/05/2013
B Colorado	Agent	Approved	09/05/2018
B Georgia	Agent	Approved	06/07/2013
B Idaho	Agent	Approved	04/12/2024
B Illinois	Agent	Approved	06/06/2013
B Maryland	Agent	Approved	06/20/2013
B Mississippi	Agent	Approved	01/10/2025
B Missouri	Agent	Approved	07/12/2013
B Nevada	Agent	Approved	06/26/2013



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	04/15/2024
B Ohio	Agent	Approved	06/18/2013
B Oregon	Agent	Approved	07/09/2021
B Texas	Agent	Approved	09/26/2013
B Washington	Agent	Approved	02/08/2016

Branch Office Locations

GRADIENT WEALTH MANAGEMENT

2500 S. POWER ROAD
SUITE 111
MESA, AZ 85209

Employment 2 of 2

Firm Name: **IMMACULATE WEALTH MANAGEMENT, LLC**
Main Address: 2500 S. POWER ROAD
SUITE 111
MESA, AZ 85209
Firm ID#: 167657

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	05/16/2013
IA Texas	Investment Adviser Representative	Restricted Approval	05/08/2013

Branch Office Locations

IMMACULATE WEALTH MANAGEMENT, LLC

2500 S. POWER ROAD
SUITE 111
MESA, AZ 85209





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



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Fund Securities Principal Examination (S51)	Series 51	06/20/2003
 General Securities Principal Examination (S24)	Series 24	11/15/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/18/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/01/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/1986

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	04/09/2009 - 03/27/2013	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	MESA, AZ
B	12/10/1997 - 03/27/2013	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	MESA, AZ
B	10/24/1986 - 12/15/1997	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN

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
06/2013 - Present	GRADIENT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	ARDEN HILLS, MN, United States
05/2013 - Present	IMMACULATE WEALTH MANAGEMENT, LLC	MANAGING MEMBER/INVESTMENT ADVISOR REPRESENTATIVE	Y	MESA, AZ, United States
02/2005 - Present	OVERSON & RAUGUTH & ASSOC. LLC	PARTNER	Y	MESA, AZ, United States
03/2000 - Present	PRECISION INVESTMENTS INC.	OWNER/PRESIDENT	Y	MESA, AZ, United States
01/1997 - Present	INDEPENDENT INSURANCE SALES	SALES AGENT	Y	GILBERT , AZ, 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) IMMACULATE WEALTH MANAGEMENT, LLC; INVESTMENT RELATED; 2500 S. POWER ROAD, SUITE 111, MESA, AZ 85209; INVESTMENT ADVISORY SERVICES AND NAME USED FOR SECURITIES/INSURANCE SERVICES; MANAGING MEMBER; START 05/2013; 160 HOURS PER MONTH; 160 HOURS DURING SECURITIES TRADING HOURS; INVESTMENT ADVISORY SERVICES AND NAME USED FOR SECURITIES/INSURANCE SERVICES.
- 2) PRECISION INVESTMENTS INC; NOT INVESTMENT RELATED; 2500 S. POWER ROAD, SUITE 111, MESA, AZ 85209; PAYROLL; OWNER/PRESIDENT; START 03/2000; 2 HOURS PER MONTH; 2 HOURS DURING SECURITIES TRADING HOURS; PAYROLL.
- 3) OVERSON & RAUGUTH & ASSOC. LLC; INVESTMENT RELATED; 2500 S. POWER ROAD, SUITE 111, MESA, AZ 85209; REAL ESTATE RENTAL PROPERTY; PARTNER; START 02/2005; 4 HOURS PER MONTH; NONE OF WHICH ARE DURING SECURITIES TRADING HOURS.



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	3
Termination	2

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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	NORTH CAROLINA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/11/2015
Docket/Case Number:	ASD FILE #35018
Employing firm when activity occurred which led to the regulatory action:	GRADIENT SECURITIES, LLC
Product Type:	No Product
Allegations:	MR. RAGUTH FAILED TO TIMELY REPORT THE FINRA AWC FROM 2/19/2014 (15 DAY SUSPENION AND \$5,000 FINE)TO NORTH CAROLINA DEPARTMENT OF INSURANCE IN VIOLATION OF NORTH CAROLINA GENERAL STATUTE 58-33-32(K).
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/11/2015



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/11/2015

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Individual

Regulatory Action Initiated By: CALIFORNIA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Suspension

Date Initiated: 09/22/2014

Docket/Case Number: LCB 1592-A

Employing firm when activity occurred which led to the regulatory action: GRADIENT SECURITIES, LLC

Product Type: No Product

Allegations: MR. RAUGUTH FAILED TO TIMELY REPORT THE FINRA AWC FROM 2/19/2014(15 DAY SUSPENSION AND \$5,000 FINE) TO THE CALIFORNIA INSURANCE COMMISSIONER IN VIOLATION OF CALIFORNIA INSURANCE CODE SECTION 1729.2.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 09/22/2014

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: INSURANCE LICENSE



Duration: 15 DAYS
Start Date: 10/20/2014
End Date: 11/04/2014

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/04/2014

Docket/Case Number: [2013036434901](#)

Employing firm when activity occurred which led to the regulatory action: RAYMOND JAMES FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, RAUGUTH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE WAS TERMINATED BY HIS MEMBER FIRM FOR IMPROPER USE OF THE SIGNATURE GUARANTEE STAMP. THE FINDINGS STATED THAT RAUGUTH USED THE FIRM'S SIGNATURE GUARANTEE STAMP ON A FAXED COPY OF A LETTER OF AUTHORIZATION (LOA) TO FACILITATE A TRANSACTION FOR A NON-FIRM CUSTOMER. RAUGUTH DID NOT WITNESS THE REQUESTING PARTY'S SIGNATURE OR INDEPENDENTLY VERIFY THE REQUESTING PARTY'S IDENTITY. THE TRANSACTION CONTEMPLATED BY THE LOA WAS NEVER EFFECTED BECAUSE A THIRD PARTY SUBSEQUENTLY DETERMINED THAT IT WAS FRAUDULENT. THE USE OF THE SIGNATURE GUARANTEE STAMP WAS CONTRARY TO RAUGUTH FIRM'S SUPERVISORY PROCEDURES. THE FINDINGS ALSO STATED THAT IT WAS SUBSEQUENTLY DETERMINED THAT RAUGUTH IMPROPERLY UTILIZED THE FIRM'S SIGNATURE GUARANTEE STAMP FOR NON-FIRM CUSTOMERS ON ADDITIONAL OCCASIONS. IN FURTHER ABROGATION OF THE FIRM'S PROCEDURES, RAUGUTH DID NOT MAINTAIN PHOTOCOPIES OF THESE GUARANTEED DOCUMENTS IN THE BRANCH FILE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/04/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?



Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 15 BUSINESS DAYS
Start Date: 04/07/2014
End Date: 04/28/2014

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: No
Date Paid by individual: 03/19/2014
Was any portion of penalty waived? No
Amount Waived:

Regulator Statement FINE PAID IN FULL ON 03/19/14.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 03/04/2014
Docket/Case Number: CASE NO. 2013036434901
Employing firm when activity occurred which led to the regulatory action: RAYMOND JAMES FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, RAUGUTH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE WAS TERMINATED BY HIS MEMBER FIRM FOR IMPROPER USE OF HTE SIGNATURE GUARANTEE STAMP. THE FINDINGS STATED THAT RAUGUTH USED THE FIRM'S SIGNATURE GUARANTEE STAMP ON A FAXED COPY OF A LETTER OF AUTHORIZATION (LOA) TO FACILITATE A TRANSACTION FOR A NON-FIRM CUSTOMER. RAUGUTH DID NOT WITNESS THE REQUESTING PARTY'S SIGNATURE OR INDEPENDENTLY VERIFY HTE REQUESTING PARTY'S IDENTITY. THE TRANSACTION CONTEMPLATED BY THE LOA WAS NEVER EFFECTED BECASUE A THIRD PARTY SUBSEQUENTLY DETERMINED THAT IT WAS FRAUDULENT. THE USE OF THE SIGNATURE GUARANTEE STAMP WAS CONTRARY TO RAUGUTH FIRM'S SUPERVISORY PROCEDURES. THE FINDINGS ALSO STATED THAT IT WAS SUBSEQUENTLY DETERMINED THAT RAUGUTH IMPROPERLY UTILIZED THE FIRM'S



SIGNATURE GUARANTEE STAMP FOR NON-FIRM CUSOTMERS ON ADDITIONAL OCCASIONS. IN FURHTER ABROGATION OF HTE FIRM'S PROCEURES, RAUGUTH DID NOT MAINTAIN PHOTOCOPIES OF THESE GUARANTEED DOCUMENTS IN THE BRANCH FILE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/04/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 15 BUSINESS DAYS

Start Date: 04/07/2014

End Date: 04/28/2014

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/19/2014

Was any portion of penalty waived? No

Amount Waived:

Broker Statement FINE PAID IN FULL ON 03/19/2014.



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 2

Reporting Source: Firm
Firm Name: RAYMOND JAMES FINANCIAL SERVICES, INC.
Termination Type: Discharged
Termination Date: 03/22/2013
Allegations: IMPROPER USE OF THE SIGNATURE GUARANTEE STAMP
Product Type: No Product

Reporting Source: Individual
Firm Name: RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
Termination Type: Discharged
Termination Date: 03/22/2013
Allegations: IMPROPER USE OF SIGNATURE GUARANTEE STAMP
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: RAYMOND JAMES FINANCIAL SERVICES, INC
Termination Type: Discharged
Termination Date: 03/22/2013
Allegations: IMPROPER USE OF THE SIGNATURE GUARANTEE STAMP
Product Type: No Product

Reporting Source: Individual
Firm Name: RAYMOND JAMES FINANCIAL SERVICES, INC
Termination Type: Discharged
Termination Date: 03/22/2013
Allegations: IMPROPER USE OF THE SIGNATURE GUARANTEE STAMP.
Product Type: No Product



End of Report

This page is intentionally left blank.