



## IAPD Report

# RICHARD GORDON GREENWALD

CRD# 1587967

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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

### RICHARD GORDON GREENWALD (CRD# 1587967)

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 **02/05/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	09/30/2002
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/02/2014

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **39** 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>B</b>	WACHOVIA SECURITIES, INC.	19616	ST. LOUIS, MO	10/01/1999 - 10/03/2002
<b>IA</b>	WACHOVIA SECURITIES, INC.	19616	CONSHOHOCKEN, PA	03/30/1993 - 10/03/2002
<b>B</b>	FIRST UNION CAPITAL MARKETS CORP.	6124	CHARLOTTE, NC	04/17/1990 - 10/01/1999

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	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 **39** 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>B</b> FINRA	General Securities Representative	Approved	09/30/2002
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	08/04/2025
<b>B</b> MEMX LLC	General Securities Representative	Approved	08/04/2025
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/30/2002
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	08/04/2025
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	08/04/2025
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2002
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	09/30/2002
<b>B</b> Alabama	Agent	Approved	03/21/2017
<b>B</b> Alaska	Agent	Approved	12/13/2017
<b>B</b> Arizona	Agent	Approved	02/26/2014
<b>B</b> California	Agent	Approved	09/30/2002



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	11/14/2025
B	Connecticut	Agent	Approved	09/30/2002
B	Delaware	Agent	Approved	10/10/2002
B	District of Columbia	Agent	Approved	03/25/2008
B	Florida	Agent	Approved	09/30/2002
B	Georgia	Agent	Approved	04/25/2024
B	Idaho	Agent	Approved	02/21/2023
IA	Idaho	Investment Adviser Representative	Approved	12/07/2023
B	Illinois	Agent	Approved	04/14/2021
B	Indiana	Agent	Approved	12/07/2021
B	Iowa	Agent	Approved	01/06/2026
B	Maine	Agent	Approved	01/06/2026
B	Maryland	Agent	Approved	09/30/2002
B	Massachusetts	Agent	Approved	01/30/2003
B	Michigan	Agent	Approved	01/08/2026
B	Minnesota	Agent	Approved	02/05/2026
B	Missouri	Agent	Approved	01/06/2026
B	Montana	Agent	Approved	12/14/2023
B	Nevada	Agent	Approved	01/06/2026



## Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	03/22/2023
B	New Jersey	Agent	Approved	09/30/2002
B	New York	Agent	Approved	09/30/2002
B	North Carolina	Agent	Approved	09/30/2002
B	North Dakota	Agent	Approved	06/30/2015
B	Ohio	Agent	Approved	03/12/2003
B	Oregon	Agent	Approved	01/27/2026
B	Pennsylvania	Agent	Approved	10/01/2002
IA	Pennsylvania	Investment Adviser Representative	Approved	04/02/2014
B	South Carolina	Agent	Approved	08/11/2016
B	South Dakota	Agent	Approved	05/22/2024
B	Tennessee	Agent	Approved	01/09/2026
B	Texas	Agent	Approved	10/08/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	01/04/2021
B	Utah	Agent	Approved	11/22/2024
B	Vermont	Agent	Approved	10/06/2008
B	Virginia	Agent	Approved	09/30/2002
B	Washington	Agent	Approved	10/02/2002



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Wisconsin	Agent	Approved	05/11/2004

### Branch Office Locations

**RAYMOND JAMES & ASSOCIATES, INC.**  
300 CONSHOHOCKEN STATE ROAD  
SUITE 400  
WEST CONSHOHOCKEN, PA 19428

**RAYMOND JAMES & ASSOCIATES, INC.**  
Fish Haven, ID



## 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, 2 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	12/20/1986
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	03/11/1993
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/27/1987
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### 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
B	10/01/1999 - 10/03/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
IA	03/30/1993 - 10/03/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	CONSHOHOCKEN, PA
B	04/17/1990 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	12/26/1986 - 04/23/1990	HALPERT AND COMPANY, INC.	CRD# 7094	MILLBURN, NJ

### 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
09/2002 - Present	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	WEST CONSHOHOCKEN, PA, 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: Oryn Market - Transparent Health Marketplace - Convertible Address: 360 River Road, Collegeville, PA, 19426, United States Activity Type: Private Investment/Private Securities Transaction(PST) Position/Title: Investment Related: Yes Start Date: 03/15/2023 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	2

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WACHOVIA SECURITIES, LLC
<b>Allegations:</b>	NJ CLIENT, STATES THAT SHE FEELS THAT HER PACIFIC LIFE VARIABLE ANNUITY, PURCHASED ON AUGUST 2000 DOES NOT FIT HER NEEDS AND DID NOT FIT HER NEEDS WHEN PURCHASED. NO DAMAGES ARE SPECIFIED. DAMAGES ARE REASONABLY ESTIMATED TO BE \$15,830.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$15,830.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/14/2005
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/27/2005

#### Settlement Amount:

#### Individual Contribution Amount:

**Firm Statement**

A THROUGH REVIEW OF THE ACCOUNT REVEALED THAT THE ORIGINAL ANNUITY CONTRACT WAS SENT TO CLIENT ON AUGUST 23, 2000. CLIENT WAS GIVEN AMPLE TIME TO REVIEW THE CONTRACT AND MADE NO MENTION OF CONCERNS AT THAT TIME. INVESTIGATION SHOWED THAT THE TERMS AND FEATURES OF THE ANNUITY WERE FULLY EXPLAINED



BOTH VERBALLY BY THE CLIENT'S FINANCIAL ADVISOR AS WELL AS IN THE ACCOMPANYING OPENING DOCUMENTS. CLIENT'S CLAIM IS DENIED.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** \*\*UPDATE - THIS DISCLOSURE 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\*\* NJ CLIENT, STATES THAT SHE FEELS THAT HER PACIFIC LIFE VARIABLE ANNUITY, PURCHASED ON AUGUST 2000 DOES NOT FIT HER NEEDS AND DID NOT FIT HER NEEDS WHEN PURCHASED. NO DAMAGES ARE SPECIFIED. DAMAGES ARE REASONABLY ESTIMATED TO BE \$15,830.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$15,830.00

**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:** 09/14/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/27/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** \*\*UPDATE - THIS DISCLOSURE 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\*\* PRIOR TO INVESTING ANY DOLLARS, CLAIMANT ARTICULATED HER NEED FOR GROWTH AND INCOME. A WRITTEN FINANCIAL PLAN, DESCRIBING INVESTMENTS, TIME HORIZON AND RISK WAS COMPLETED AND REVIEWED WITH CLAIMANT. AT THAT TIME, 5 YEARS AGO, CLAIMANT DID NOT INDICATE THAT A VARIABLE ANNUITY DID NOT FIT HER NEEDS AS PART OF A WELL DIVERSIFIED ACCOUNT.

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, INC. FORMERLY FIRST UNION SECURITIES, INC.

**Allegations:** CUSTOMER ALLEGES THAT HE HAS LOST 40% OF HIS ASSETS THROUGH INVESTMENTS IN MUTUAL FUNDS AND QUESTIONS WHETHER A 71 YEAR OLD RETIREE SHOULD HAVE HAD 80% OF HIS ENTIRE INVESTIBLE FUNDS



INVESTED IN ONE ASSET CLASS.

**Product Type:** Mutual Fund(s)  
**Other Product Type(s):** (NON-PROPRIETARY)  
**Alleged Damages:** \$30,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/09/2001  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 06/06/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD-DR CASE #01-05371

**Date Notice/Process Served:** 11/13/2001

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/16/2002

**Monetary Compensation Amount:** \$18,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$18,000. THE SETTLEMENT WAS ENTERED INTO WITH OUT ADMITTING LIABILITY, WHILE DENYING LIABILITY, IN ORDER TO AVOID THE COST AND UNCERTAINTY OF ARBITRATION. MR. GREENWALD WAS NOT ASKED TO, NOR DID HE, CONTRIBUTE TO THE SETTLEMENT.

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** FIRST UNION SECURITIES INC.

**Allegations:** CUSTOMER ALLEGES THAT HE HAS LOST 40% OF HIS ASSETS THROUGH INVESTMENTS IN MUTUAL FUNDS AND QUESTIONS WHETHER A 71 YEAR OLD RETIREE SHOULD HAVE HAD 80% OF HIS ENTIRE INVESTIBLE FUNDS INVESTED IN ONE ASSET CLASS.

**Product Type:** Mutual Fund  
**Alleged Damages:** \$30,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes



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

**Arbitration/Reparation forum  
or court name and location:** NASD

**Docket/Case #:** 01-05371

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 11/13/2001

### Customer Complaint Information

**Date Complaint Received:** 05/09/2001

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 06/06/2001

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Arbitration Information

**Arbitration/CFTC reparation  
claim filed with (FINRA, AAA,  
CFTC, etc.):** NASD

**Docket/Case #:** 01-05371

**Date Notice/Process Served:** 11/13/2001

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/16/2002

**Monetary Compensation  
Amount:** \$18,000.00

**Individual Contribution  
Amount:** \$0.00

### Broker Statement

\*\* UPDATE - FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$18,000. THE SETTLEMENT WAS ENTERED INTO WITHOUT ADMITTING LIABILITY, WHILE DENYING LIABILITY, IN ORDER TO AVOID THE COST AND UNCERTAINTY OF ARBITRATION. BROKER WAS NOT ASKED TO, NOR DID HE, CONTRIBUTE TO THE SETTLEMENT.\*\* BROKER BELIEVES THAT ALL INVESTMENTS MADE WERE SUITABLE FOR THE CUSTOMERS AND THAT THE INVESTMENT STRATEGY FIT WELL WITHIN THE CUSTOMERS' ARTICULATED INVESTMENT OBJECTIVES AND TIME HORIZON.



## End of Report

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