



IAPD Report

BRIAN TIMOTHY DUFFY

CRD# 1743011

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

BRIAN TIMOTHY DUFFY (CRD# 1743011)

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 **04/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/04/2009
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	12/07/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	EDWARD JONES	250	SEATTLE, WA	05/24/2007 - 11/16/2009
B	EDWARD JONES	250	SEATTLE, WA	09/24/1987 - 11/16/2009

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/04/2009
B	FINRA	General Securities Sales Supervisor	Approved	12/14/2010
B	Alaska	Agent	Approved	02/21/2018
B	Arizona	Agent	Approved	02/19/2010
B	California	Agent	Approved	01/21/2010
B	Colorado	Agent	Approved	07/02/2010
B	Connecticut	Agent	Approved	04/18/2024
B	Florida	Agent	Approved	04/18/2024
B	Georgia	Agent	Approved	01/02/2015
B	Idaho	Agent	Approved	01/21/2010
B	Illinois	Agent	Approved	02/22/2019
B	Indiana	Agent	Approved	04/18/2024
B	Kansas	Agent	Approved	12/18/2019



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	05/01/2013
B Maine	Agent	Approved	07/19/2022
B Massachusetts	Agent	Approved	08/20/2012
B Michigan	Agent	Approved	05/23/2025
B Minnesota	Agent	Approved	05/16/2019
B Montana	Agent	Approved	07/06/2015
B Nevada	Agent	Approved	01/29/2010
B New York	Agent	Approved	06/30/2010
B North Carolina	Agent	Approved	04/29/2011
B Oklahoma	Agent	Approved	04/21/2022
B Oregon	Agent	Approved	01/21/2010
B Rhode Island	Agent	Approved	03/14/2022
B South Carolina	Agent	Approved	05/17/2022
B South Dakota	Agent	Approved	11/07/2025
B Tennessee	Agent	Approved	04/13/2022
B Texas	Agent	Approved	01/02/2015
B Utah	Agent	Approved	09/17/2019
B Virginia	Agent	Approved	05/16/2019
B Washington	Agent	Approved	12/04/2009



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	04/15/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 4739 44TH AVENUE SW
 SEATTLE, WA 98116

RAYMOND JAMES FINANCIAL SERVICES
 Indian Wells, CA

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Address: 880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716
 Firm ID#: 149018

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/27/2025
IA Texas	Investment Adviser Representative	Restricted Approval	01/18/2019
IA Washington	Investment Adviser Representative	Approved	12/07/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 4739 44TH AVENUE SW
 SEATTLE, WA 98116

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 Indian Wells, CA





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
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/13/2010
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/15/2010

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/19/1987

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	05/21/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/02/1987

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	05/24/2007 - 11/16/2009	EDWARD JONES	CRD# 250	SEATTLE, WA
B	09/24/1987 - 11/16/2009	EDWARD JONES	CRD# 250	SEATTLE, WA

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
12/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	SEATTLE, WA, United States
12/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	FINANCIAL ADIVSOR	Y	SEATTLE, WA, 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: Duffy Investments Llc Address: 11087 Arroyo Beach PL SW, Seattle, WA, 98146, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 12/08/2009 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: rental home and apartment bldg

(2)Name of Business: Duffy Wealth Management, LLC Address: 4739 44th Ave SW, Seattle, WA, 98116-4480, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 02/25/2010 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Branch LLC branch manager/owner



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	3

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:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	10/08-2/27/09; CLIENT CLAIMS HE VISITED WITH FA THE EARLY PART OF OCTOBER 2008 TO LIQUIDATE THE ACCOUNT. CLIENT CLAIMS THE FA GAVE HIM A SALESMAN'S RESPONSE AND TOLD HIM HE WOULD NEED A LETTER FROM THE LAWYER TO PLACE ANY TRADES. CLIENT CLAIMS HE CONTACTED THE LAWYER WHO TOLD HIM NO LETTER WAS NEEDED AND HE HAD AUTHORIZATION AS TRUSTEE. CLIENT CLAIMS HE REALIZED HE MADE A BIG MISTAKE BY LETTING FA CONVINCED HIM NOT TO LIQUIDATE. CLIENT CLAIMS HE WENT BACK ON FEB. 10TH AND WAS TOLD BY FA THE MARKET WAS DOWN AND HE SHOULD WAIT UNTIL AN "UP TIC" DAY. CLIENT CLAIMS HE BEGAN TO WONDER WHAT IT WOULD TAKE TO HAVE HIS REQUEST FOLLOWED. CLIENT CLAIMS HE WENT BACK AND THE OFFICE ASSISTANT PLACED THE TRADES. CLIENT CLAIMS AS A RESULT OF THE FA'S RESISTANCE TO DO WHAT HE WAS ASKING, HE LOST APPROXIMATELY \$29,000 AND CLIENT WANTS THIS REIMBURSED.
Product Type:	Mutual Fund
Alleged Damages:	\$29,000.00
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: 02/27/2009

Complaint Pending? No

Status: Settled

Status Date: 07/14/2009

Settlement Amount: \$4,129.99

Individual Contribution Amount: \$500.00

Broker Statement

WHILE CLIENT INDICATED HE FIRST SPOKE TO FA IN EARLY OCTOBER, 2008 REGARDING THE LIQUIDATION OF THE ASSETS HELD IN THE ACCOUNT, FA INDICATED HE DID NOT HAVE A CONVERSATION WITH HIM AT THAT TIME. FA STATED HE DID SPEAK WITH MS. X ON OR ABOUT OCTOBER 13, 2008; HOWEVER, THERE WAS NO REQUEST TO LIQUIDATE THE ACCOUNT AND HE DID NOT SPEAK WITH CLIENT AT THAT TIME. ACCORDING TO LETTER, IT DOES APPEAR CLIENT WANTED TO LIQUIDATE THE ASSETS ON FEBRUARY 10, 2009 AND DID SPEAK WITH THE BOA. AS A RESULT, EDWARD JONES EXTENDS AN OFFER TO CANCEL THE FEBRUARY 27, 2009 TRADES AND ADJUST THE TRADE DATE TO FEBRUARY 10, 2009. THE TRADE DATE ADJUSTMENT WOULD RESULT IN AN ADDITIONAL AMOUNT OF APPROXIMATELY \$4,277.00 BEING CREDITED TO THE ACCOUNT WHICH CAN THEN BE DISTRIBUTED PURSUANT TO CLIENT'S DIRECTION. OFFER EXTENDED TO ADJUST TRADE DATE. OFFER WAS ACCEPTED AND THE ORDERS ADJUSTED.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 10/6/08-10/22/08; THE CLIENTS STATE THEY CONTACTED THE BRANCH OFFICE TO LIQUIDATE THE FUNDS IN BOTH ACCOUNTS [ACCT #] AND [ACCT #] ON 10/6/08. THE CLIENTS STATE THE FUNDS WERE NOT LIQUIDATED IN BOTH ACCOUNTS ON 10/6/08. THEY STATED THEY TRIED TO CONTACT THE FA SEVERAL TIMES PRIOR TO THAT, BUT HE DID NOT RETURN THE PHONE CALLS.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

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: 10/29/2008

Complaint Pending? No

Status: Settled

Status Date: 12/18/2008

Settlement Amount: \$5,617.00



Individual Contribution Amount: \$2,808.50

Broker Statement AFTER FURTHER REVIEW OF THIS MATTER WE HAVE PROVIDED THE CLIENTS WITH SETTLEMENT LETTERS FOR EACH ACCOUNT. IT APPEARS THAT A FEW OF THE FUNDS WERE MISSED ON THE 10/6 LIQUIDATION REQUEST. COMPLAINT CLOSED.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: MS. HARVEY IS ALLEGING THAT THE IR TRANSFERED FUNDS FROM THE ESTATE ACCOUNT OF CUSTOMER, INTO AN INDIVIDUAL ACCOUNT IN THE NAME OF MS. HARVEY, WITHOUT PERMISSION. THE CLIENT FURTHER ALLEGES THAT SHARES OF CAPITAL INCOME BUILDER FUND WERE PURCHASED FOR HER INDIVIDUAL ACCOUNT WITHOUT AUTHORIZATION. AMOUNT IN QUESTION EXCEEDS \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/10/2002

Complaint Pending? No

Status: Denied

Status Date: 12/13/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED THAT HE SPOKE WITH CLIENT SEVERAL TIMES REGARDING INVESTING THE FUNDS SHE WOULD BE RECEIVING FROM THE ESTATE. AS TIME DREW CLOSER TO HAVING TO DISTRIBUTE THE MONEY FROM THE ESTATE IR DISCUSSED WITH CLIENT AGAIN INVESTING THE FUNDS IN CAPITAL INCOME BUILDER. AFTER DISCUSSING FEES, RISKS AND INVESTMENT OBJECTIVES CLIENT DECIDED TO EXECUTE THE TRANSACTION. CLIENT CONTACTED IR AFTER RECEIPT OF CONFIRMATION INQUIRING ABOUT THE BREAKDOWN OF THE FUND. THE IR DISCUSSED THIS WITH THE CLIENT AND STATES SHE WAS COMFORTABLE WITH THE INVESTMENT. DETERMINED THAT THIS INVESTMENT WAS MADE WITH THE PRIOR AUTHORIZATION AND KNOWLEDGE OF CLIENT. CLIENT ALSO SIGNED A LOA FOR ESTATES PROCESSING REGARDING THE CAPITAL INCOME BUILDER. ENCLOSED A COPY OF THE LOA FOR CLIENT'S REVIEW. CLAIM DENIED



End of Report

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