IAPD Report

VAN MARK PEARCY

CRD# 1784318

Section Title | **Page(s)**

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

VAN MARK PEARCY (CRD# 1784318)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/17/2001
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **41** 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	6694	BROWNWOOD, TX	12/20/2002 - 01/02/2009
B	EDWARD JONES	250	ST. LOUIS, MO	12/22/1987 - 07/27/2001

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 **41** 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	07/17/2001
B	FINRA	General Securities Sales Supervisor	Approved	06/11/2003
B	Alabama	Agent	Approved	03/08/2016
B	Arizona	Agent	Approved	08/26/2002
B	Arkansas	Agent	Approved	07/30/2018
B	California	Agent	Approved	09/07/2001
B	Colorado	Agent	Approved	04/10/2002
B	Florida	Agent	Approved	07/17/2001
B	Georgia	Agent	Approved	01/05/2009
B	Hawaii	Agent	Approved	11/21/2024
B	Illinois	Agent	Approved	02/15/2023
B	Iowa	Agent	Approved	12/07/2021
B	Kansas	Agent	Approved	07/17/2001

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	08/04/2021
B	Louisiana	Agent	Approved	01/08/2008
B	Maine	Agent	Approved	11/13/2018
B	Maryland	Agent	Approved	08/14/2024
B	Massachusetts	Agent	Approved	07/17/2001
B	Michigan	Agent	Approved	03/19/2026
B	Minnesota	Agent	Approved	04/30/2024
B	Mississippi	Agent	Approved	06/04/2010
B	Missouri	Agent	Approved	12/06/2018
B	Montana	Agent	Approved	05/25/2023
B	Nebraska	Agent	Approved	03/22/2005
B	Nevada	Agent	Approved	01/03/2018
B	New Jersey	Agent	Approved	02/03/2022
B	New Mexico	Agent	Approved	07/17/2001
B	New York	Agent	Approved	02/13/2002
B	North Carolina	Agent	Approved	05/27/2004
B	North Dakota	Agent	Approved	05/31/2022
B	Ohio	Agent	Approved	09/18/2024
B	Oklahoma	Agent	Approved	07/17/2001

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	12/07/2021
B	Pennsylvania	Agent	Approved	02/21/2012
B	Rhode Island	Agent	Approved	10/17/2025
B	South Carolina	Agent	Approved	01/05/2009
B	Tennessee	Agent	Approved	11/07/2019
B	Texas	Agent	Approved	07/17/2001
B	Utah	Agent	Approved	07/14/2006
B	Virgin Islands	Agent	Approved	10/14/2014
B	Virginia	Agent	Approved	01/27/2025
B	Washington	Agent	Approved	09/30/2004
B	Wyoming	Agent	Approved	04/21/2017

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
2020 WEST CUTHBERT AVENUE
MIDLAND, TX 79701-5728

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	New Mexico	Investment Adviser Representative	Approved	08/08/2012
IA	Texas	Investment Adviser Representative	Approved	01/02/2009

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
2020 WEST CUTHBERT AVENUE
MIDLAND, TX 79701-5728

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/09/2003
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/23/2003

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	12/19/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/16/1988

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	12/20/2002 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	BROWNWOOD, TX
B	12/22/1987 - 07/27/2001	EDWARD JONES	CRD# 250	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
12/2002 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	Investment Advisor Rep.	Y	MIDLAND, TX, United States
07/2001 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	MIDLAND, TX, United States
07/2001 - 01/2026	LP	OFFICER-CEO	Y	MIDLAND, TX, 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) 73 Hidden Lane, LP 73 Hidden Lane , Snowmass Village, CO, 81615, Real Estate Brokerage/ Agent or Development P/T: Other, Partner Investment Related: No 05/15/2006 HPM: 0-1 HPM TH: 0-1 DOD: 1/4 Dimitri Lake & Ranch Properties LP (Van & Donna Pearcy), 1/4 Dr. Charles Younger, 1/4 former US Sec. of Commerce Don Evans, 1/8 Jack Harper/Dan Hord (HedLoc) & 1/8 Frances Younger - all close friends & clients own Snowmass/Aspen ski home together. (2) Dimitri Lake & Ranch Properties, LP 2020 W Cuthbert Ave, Midland, TX, 79701, Business Owner P/T: Partner Investment Related: Yes 03/21/2011 HPM: 0-1 HPM TH: 0-1 DOD:Partner with wife 49.5%/49.5% - own office building & bldg. next door to utilize for RJFS operation. Will operate out of 0.90, and lease the other 0.10 to barber & massage therapy business. The remainder of not-owned building that co-joined office with Dentists operates under JHY Plaza. (3) Dimitri Lake & Ranch Properties, LP 2302 Texland Cir, Midland, TX, 79705, Personal/Private Investment P/T: Investment Related: Yes 10/01/2004 HPM: 0-1 HPM TH: 0-1 DOD: (4) Dimitri Lake & Ranch Properties, LP 2302 Texland Cir, Midland, TX, 79705, Business Owner P/T: Partner Investment Related: Yes 08/01/2001 HPM: 2-10 HPM TH: 0-1 DOD: To purchase / sell Antique Car Collection (5) PAR Cattle Mgmt Co., LLC 17796 FM 1602, Hico, TX, 76457, Agriculture/Farming P/T: Officer - President Investment Related: No 01/01/2023 HPM: 0-1 HPM TH: 0-1 DOD: Overseeing the contract salesperson in charge of selling our registered Angus beef to the beef buying public via processing through a USDA processing plant in Evant, Texas. (6) Pearcy Angus Ranch, LLC 17796 CR 1602, Hico, TX, 76457, Agriculture/Farming P/T: Officer - CEO Investment Related: No 01/01/2016 HPM: 41-80 HPM TH: 21-40 DOD: Registered seed stock Black Angus cattle producer, and farming activities for cattle feed. (7) POG Resources, LLC 2302 Texland Cir, Midland, TX, 79705, Personal/Private Investment P/T: Officer - President Investment Related: Yes 01/01/2014 HPM: 0-1 HPM TH: 0-1 DOD: FLP utilizing the POG LLC was used to invest in passive oil & gas private offerings. These have been liquidated. Today, POG holds ownership of shares in NetJet ownership. (8) Vadonna, LLC 2302 Texland Circle, Midland, TX, 79705, Business Owner P/T: Officer - President Investment Related: Yes 10/06/2004 HPM: 2-10 HPM TH: 0-1 DOD: Acting as the GP of my families Family Limited Partnership (FLP). The FLP holds all my investments, office building, antique car collection... My wife, Donna, and I make all the decisions in regard to our holdings in our FLP as both 50/50 General Partners. (9) Van Pearcy Financial 2020 W Cuthbert, Midland, TX,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

79701, Non-variable Insurance P/T: Broker Investment Related: Yes 11/12/2010 HPM: 0-1 HPM TH: 0-1 DOD: Fixed Life Ins. - UL - Term Life (10) Van Pearcy's Wealth Services Team 2020 W Cuthbert Ave, Midland, TX, 79701-5728, Support Company - Owner P/T: Officer - CEO Investment Related: No 10/13/2008 HPM: 81+ HPM TH: 41+ DOD: Branch Mgr/Financial Advisor for Raymond James.\n"Van Pearcy's Wealth Services Team" is the DBA name operating under the LP entity of "Van Pearcy Financial Services, LP." (11) Pearcy Angus Ranch, Llc 2020 West Cuthbert Midland, TX 79701, Hico, TX, 76457. Officer - CEO I/R: No 04/16/2012 HPM: 21-40 TH: 11-20 DOD: President/Owner- Decision making, planning & physical labor operating Registered Black Angus Cattle operation (12) ViP Partners & Family Office, LLC 2020 W Cuthbert Ave, Midland, TX, 79701-5728, Support Company - Owner Position/Title: Officer - President I/R No 01/01/2026HPM: 41-80 HPM TH: 41+ Duties: This is the new business entity that was established for RJFS to deposit payroll bi-monthly from RJ business. I am the branch mgr. and financial advisor of the practice.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	CLIENT ALLEGES UNSUITABLE INVESTMENT RECOMMENDATION. 01/01/2014 - 12/31/2017.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$73,197.00
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:	02/08/2018
Complaint Pending?	No
Status:	Denied
Status Date:	04/19/2018
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	FINANCIAL ADVISOR DENIES ALL ALLEGATIONS IN COMPLAINT AND

MAINTAINS THAT INVESTMENT RECOMMENDATIONS WERE APPROPRIATE GIVEN THE CIRCUMSTANCES AND GOALS OF THE CLIENT. WE DID NOT FIND MR. PEARCY NEGLIGENT IN HIS INVESTMENT ADVICE AND WERE NOT ABLE TO SUBSTANTIATE THE ALLEGATIONS RAISED IN THE COMPLAINT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC
Allegations:	FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND BREACH OF THE COVENANTS OF GOOD FAITH AND FAIR DEALING
Product Type:	Mutual Fund
Alleged Damages:	$200,000.00
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 #:	12-03965
Filing date of arbitration/CFTC reparation or civil litigation:	11/30/2012

Customer Complaint Information

Date Complaint Received:	11/30/2012
Complaint Pending?	No
Status:	Settled
Status Date:	11/14/2013
Settlement Amount:	$14,999.00
Individual Contribution Amount:	$14,999.00
Broker Statement	THIS WAS SETTLED TO AVOID THE EXPENSE OF LITIGATING A FRIVOLOUS CLAIM. BOTH MYSELF AND THE COMPANY BELIEVD THE CLAIM TO BE BASELES AND THE CLIENT SUFFERED NO DAMAGES AS HER ACCOUNT HAD A GAIN. "AMOUNT OF CONTRIBUTION IS AMOUNT FINANCIAL ADVISOR IS REQUIRED TO PAY UNDER HIS FA AGREEMENT. THE TOTAL AMOUNT CONTRIBUTED MAY BE OFFSET BY ANY ERRORS & OMISSIONS INSURANCE IF COVERED"

End of Report

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