



## IAPD Report

# RANDY JAMES LANDRY

CRD# 1984234

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

### RANDY JAMES LANDRY (CRD# 1984234)

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 **11/12/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/14/2025
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/14/2025

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **27** 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>IA</b>	MORGAN STANLEY	149777	Lafayette, LA	11/18/2010 - 02/28/2025
<b>B</b>	MORGAN STANLEY	149777	Lafayette, LA	06/01/2009 - 02/28/2025
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	7059	LAFAYETTE, LA	02/21/2006 - 06/01/2009

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
Regulatory Event	1
Customer Dispute	2
Termination	1



## 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 **27** 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	02/18/2025
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	02/18/2025
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	11/12/2025
<b>B</b> MEMX LLC	General Securities Representative	Approved	11/12/2025
<b>B</b> MEMX LLC	General Securities Sales Supervisor	Approved	11/12/2025
<b>B</b> NYSE American LLC	General Securities Representative	Approved	02/14/2025
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	02/14/2025
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	11/12/2025
<b>B</b> NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/12/2025
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	11/12/2025
<b>B</b> NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/12/2025
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	02/14/2025
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	02/14/2025



## Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	02/14/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/14/2025
B	New York Stock Exchange	General Securities Representative	Approved	02/14/2025
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	02/14/2025
B	Alabama	Agent	Approved	02/18/2025
B	Alaska	Agent	Approved	02/18/2025
B	Arkansas	Agent	Approved	02/18/2025
B	California	Agent	Approved	02/27/2025
B	Colorado	Agent	Approved	03/21/2025
B	Florida	Agent	Approved	02/18/2025
B	Georgia	Agent	Approved	02/18/2025
B	Illinois	Agent	Approved	03/03/2025
B	Kansas	Agent	Approved	02/18/2025
B	Kentucky	Agent	Approved	02/18/2025
IA	Louisiana	Investment Adviser Representative	Approved	02/14/2025
B	Louisiana	Agent	Approved	02/18/2025
B	Maryland	Agent	Approved	02/18/2025
B	Michigan	Agent	Approved	02/18/2025
B	Minnesota	Agent	Approved	06/09/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Mississippi	Agent	Approved	02/18/2025
<b>B</b> Nevada	Agent	Approved	02/18/2025
<b>B</b> New Hampshire	Agent	Approved	02/18/2025
<b>B</b> North Carolina	Agent	Approved	03/05/2025
<b>B</b> Ohio	Agent	Approved	02/18/2025
<b>B</b> Oklahoma	Agent	Approved	02/24/2025
<b>B</b> Oregon	Agent	Approved	02/18/2025
<b>B</b> South Carolina	Agent	Approved	03/04/2025
<b>B</b> Tennessee	Agent	Approved	02/18/2025
<b>B</b> Texas	Agent	Approved	02/18/2025
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	03/03/2025
<b>B</b> Utah	Agent	Approved	02/18/2025
<b>B</b> Virginia	Agent	Approved	02/18/2025
<b>B</b> Washington	Agent	Approved	03/03/2025

### Branch Office Locations

**RAYMOND JAMES & ASSOCIATES, INC.**  
1220 CAMELLIA BLVD  
LAFAYETTE, LA 70508





## 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, 3 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	11/27/2000
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/22/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	08/29/2008
 General Securities Representative Examination (S7)	Series 7	10/21/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/14/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/12/1989

### 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	11/18/2010 - 02/28/2025	MORGAN STANLEY	CRD# 149777	Lafayette, LA
B	06/01/2009 - 02/28/2025	MORGAN STANLEY	CRD# 149777	Lafayette, LA
B	02/21/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LAFAYETTE, LA
B	05/19/1995 - 02/21/2006	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	03/27/1990 - 03/29/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	10/25/1989 - 01/15/1990	F.N. WOLF & CO., INC.	CRD# 13051	

#### 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
02/2025 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	LAFAYETTE, LA, United States
01/2015 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
01/2015 - 02/2025	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 02/2025	MORGAN STANLEY	Financial Advisor	Y	LAFAYETTE, LA, 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: AREA Holdings, LLC Address: 510 Whitebark Drive, Lafayette, LA, 70508, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/14/2003 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: My wife and I's commercial real estate business.

(2)Name of Business: AREA Ventures, LLC dba Club Tan Address: 510 Whitebark Drive, Lafayette, LA, 70508, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 10/12/2004 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: none, this a tanning salon my wife owns and operates.

(3)Name of Business: Landry Investments of Louisiana, LLC Address: 112 Ira Drive, Breaux Bridge, LA, 70517, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/13/2004 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: partner with my father

(4)Name of Business: Landry Investments of Louisiana, LLC Address: 112 Ira Drive, Breaux Bridge, LA, 70517, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/13/2004 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: none, this is an LLC where my father and I own residential rental real estate in. My father handles all day to day 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
Regulatory Event	1
Customer Dispute	2
Termination	1

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/15/1995
<b>Docket/Case Number:</b>	C05950071
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MERRIL LYNCH PIERCE, FENNER & SMITH INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	12/15/1995
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,120.00 Suspension
<b>Other Sanctions Ordered:</b>	

**Sanction Details:****Regulator Statement**

ON DECEMBER 15, 1995, DISTRICT NO. 5 NOTIFIED RANDY J. LANDRY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05950071 WAS ACCEPTED: THEREFORE, HE IS CENSURED, FINED \$5,120 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE WEEK. - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT LANDRY EXECUTED THE UNAUTHORIZED PURCHASE AND SALE OF SHARES OF STOCK IN THE ACCOUNT OF A PUBLIC CUSTOMER, WITHOUT THE PUBLIC CUSTOMER'S KNOWLEDGE OR CONSENT).

THE SUSPENSION WILL COMMENCE WITH OPENING OF BUSINESS FEBRUARY 20, 1996 AND WILL CONCLUDE FEBRUARY 26, 1996.

\*\*%,120.00 FULLY PAID AS OF 6/05/96, INVOICE #95-05-831\*\*

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NASD DISTRICT BUSINESS CONDUCT COMMITTEE

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

12/15/1995

**Docket/Case Number:**

C05950071

**Employing firm when activity occurred which led to the regulatory action:**

MERRIL LYNCH PIERCE, FENNER &amp; SMITH INC.

**Product Type:****Other Product Type(s):****Allegations:**

IT WAS ALLEGED THAT WHILE EMPLOYED BY MERRILL LYNCH PIERCE, FENNER & SMITH INC. MR. LANDRY VIOLATED ARTICLE III SECTION 1 OF THE NASD'S RULES OF FAIR PRACTICE BY EXECUTING (A) AN UNAUTHORIZED PURCHASE AND SALE AND (B) AN UNAUTHORIZED PURCHASE IN TWO SEPARATE CLIENT ACCOUNTS IN 1995.

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

12/15/1995

**Sanctions Ordered:**

Censure  
Monetary/Fine \$5,120.00  
Suspension

**Other Sanctions Ordered:****Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATION, MR. LANDRY ACCEPTED AND CONSENTED TO A CENSURE, A MONETARY FINE IN



THE AMOUNT OF \$5,120.00 AND A ONE WEEK SUSPENSION FROM ASSOCIATION WITH ANY MEMBER OF THE NASD.

Not Provided

**Broker Statement**



## 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:** CITIGROUP GLOBAL MARKETS INC.

**Allegations:** CLIENT ALLEGED MISREPRESENTATION WITH RESPECT TO MORTGAGE BACKED BOND INVESTMENT - SEPTEMBER 2005.

**Product Type:** Debt - Asset Backed

**Alleged Damages:** \$48,900.00

### Customer Complaint Information

**Date Complaint Received:** 11/24/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/20/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLAIM DENIED.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LEGG MASON WOOD WALKER, INC.

**Allegations:** CUSTOMER'S SON ALLEGES THAT MR. LANDRY MADE A RECOMMENDATION TO HIS PARENTS TO SELL 200 SHARES OF INTEL FOR WHICH MR. LANDRY HAD NO BASIS. THE CUSTOMERS FOLLOWED THIS RECOMMENDATION OF 04/24/98. COSTUMER'S SON DEMANDS REVERSAL OF SALE AND REVERSAL OF MUTUAL FUNDS PURCHASED WITH PROCEEDS OF SALE.

**Product Type:** Equity - OTC

**Alleged Damages:** \$98,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/04/2000

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 12/14/2000

**Settlement Amount:**

**Individual Contribution  
Amount:**



## 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 1

**Reporting Source:** Individual  
**Firm Name:** MERRILL LYNCH  
**Termination Type:** Permitted to Resign  
**Termination Date:** 03/09/1995  
**Allegations:** N/A  
INVESTIGATION AROSE FROM A CLIENT VERABLE COMPLAINT OF AN UNAUTHORIZED TRADE IN A CLIENT ACCOUNT. NO DAMAGES WERE SPECIFIED.

**Product Type:**

**Other Product Types:**

**Broker Statement** MR. LANDRY WAS TERMINATED. AFTER ADMITTING TO DOING AN UNAUTHORIZED TRADE IN MARK BORROW'S ACCOUNT, I WAS TERMINATED FROM THE FIRM. THIS TERMINATION IS RELATED TO THE CUSTOMER COMPLAINT AND NASD INVESTIGATION.



## End of Report

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