



IAPD Report

Cindy Lou Ellis

CRD# 1987181

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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

Cindy Lou Ellis (CRD# 1987181)

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 **03/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/08/2023
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/09/2023

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **53** 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	LPL FINANCIAL LLC	6413	Blue Springs, MO	10/17/2022 - 01/26/2023
B	LPL FINANCIAL LLC	6413	FORT MILL, SC	10/14/2022 - 01/26/2023
IA	COMMERCE BROKERAGE SERVICES, INC	17140	KANSAS CITY, MO	05/29/2008 - 09/09/2022

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
Criminal	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 **53** 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 FINRA	General Securities Representative	Approved	03/08/2023
B FINRA	General Securities Sales Supervisor	Approved	03/08/2023
B FINRA	Municipal Securities Principal	Approved	03/08/2023
B FINRA	Municipal Securities Representative	Approved	03/08/2023
B Investors' Exchange LLC	General Securities Representative	Approved	06/30/2025
B MEMX LLC	General Securities Representative	Approved	06/30/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	06/30/2025
B NYSE American LLC	General Securities Representative	Approved	03/08/2023
B NYSE American LLC	General Securities Sales Supervisor	Approved	03/08/2023
B NYSE American LLC	Municipal Securities Principal	Approved	03/08/2023
B NYSE American LLC	Municipal Securities Representative	Approved	03/08/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	06/30/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/30/2025



Qualifications

Regulator	Registration	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	06/30/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/30/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/08/2023
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/08/2023
B Nasdaq Stock Market	General Securities Representative	Approved	03/08/2023
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/08/2023
B New York Stock Exchange	General Securities Representative	Approved	03/08/2023
B New York Stock Exchange	General Securities Sales Supervisor	Approved	03/08/2023
B New York Stock Exchange	Municipal Securities Principal	Approved	03/08/2023
B New York Stock Exchange	Municipal Securities Representative	Approved	03/08/2023
B Alabama	Agent	Approved	03/10/2023
B Alaska	Agent	Approved	03/31/2023
B Arizona	Agent	Approved	03/15/2023
B Arkansas	Agent	Approved	03/22/2023
B California	Agent	Approved	03/09/2023
B Colorado	Agent	Approved	03/10/2023
B Connecticut	Agent	Approved	03/09/2023
B Delaware	Agent	Approved	03/16/2023
B District of Columbia	Agent	Approved	03/16/2023



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	03/09/2023
B Georgia	Agent	Approved	03/10/2023
B Hawaii	Agent	Approved	03/09/2023
B Idaho	Agent	Approved	03/09/2023
B Illinois	Agent	Approved	03/14/2023
B Indiana	Agent	Approved	03/21/2023
B Iowa	Agent	Approved	03/16/2023
B Kansas	Agent	Approved	03/10/2023
B Kentucky	Agent	Approved	03/14/2023
B Louisiana	Agent	Approved	03/13/2023
B Maine	Agent	Approved	03/09/2023
B Maryland	Agent	Approved	03/13/2023
B Massachusetts	Agent	Approved	03/08/2023
B Michigan	Agent	Approved	03/10/2023
B Minnesota	Agent	Approved	03/10/2023
B Mississippi	Agent	Approved	03/10/2023
B Missouri	Agent	Approved	03/09/2023
IA Missouri	Investment Adviser Representative	Approved	03/09/2023
B Montana	Agent	Approved	03/08/2023



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	03/08/2023
B Nevada	Agent	Approved	03/14/2023
B New Hampshire	Agent	Approved	03/15/2023
B New Jersey	Agent	Approved	03/09/2023
B New Mexico	Agent	Approved	03/13/2023
B New York	Agent	Approved	03/26/2023
B North Carolina	Agent	Approved	03/13/2023
B North Dakota	Agent	Approved	03/13/2023
B Ohio	Agent	Approved	03/08/2023
B Oklahoma	Agent	Approved	03/13/2023
B Oregon	Agent	Approved	03/09/2023
B Pennsylvania	Agent	Approved	03/09/2023
B Puerto Rico	Agent	Approved	03/14/2023
B Rhode Island	Agent	Approved	03/10/2023
B South Carolina	Agent	Approved	03/13/2023
B South Dakota	Agent	Approved	03/09/2023
B Tennessee	Agent	Approved	03/09/2023
B Texas	Agent	Approved	03/08/2023
B Utah	Agent	Approved	03/09/2023



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	03/09/2023
B Virgin Islands	Agent	Approved	03/13/2023
B Virginia	Agent	Approved	03/13/2023
B Washington	Agent	Approved	03/10/2023
B West Virginia	Agent	Approved	03/09/2023
B Wisconsin	Agent	Approved	03/09/2023
B Wyoming	Agent	Approved	03/13/2023

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
Clinton, MO





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



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	07/09/2008
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/22/1998

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/29/2007
 General Securities Representative Examination (S7)	Series 7	11/28/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/13/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1995

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	10/17/2022 - 01/26/2023	LPL FINANCIAL LLC	CRD# 6413	Blue Springs, MO
B	10/14/2022 - 01/26/2023	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	05/29/2008 - 09/09/2022	COMMERCE BROKERAGE SERVICES, INC	CRD# 17140	KANSAS CITY, MO
B	03/19/2008 - 09/09/2022	COMMERCE BROKERAGE SERVICES, INC.	CRD# 17140	KANSAS CITY, MO
B	08/12/2006 - 03/26/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	LEAWOOD, KS
IA	08/12/2006 - 03/26/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	LEAWOOD, KS
B	08/23/2004 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	LEAWOOD, KS
IA	08/23/2004 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	LEAWOOD, KS
IA	02/13/2003 - 09/13/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	KANSAS CITY, MO
B	09/07/2001 - 09/13/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	09/14/1999 - 12/31/2000	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	10/02/1995 - 09/13/1999	GEORGE K. BAUM & COMPANY	CRD# 36354	KANSAS CITY, 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
02/2023 - Present	Raymond James & Associates, INC	Registered Associate	Y	Blue Springs, MO, United States
09/2022 - 02/2023	LPL Financial LLC	Registered Representative / Home Office Employee	Y	Blue Springs, MO, United States
06/2009 - 09/2022	COMMERCE BROKERAGE SERVICES, INC	COMPLIANCE PRINCIPAL	Y	KANSAS CITY, MO, United States



Registration & Employment History



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: Cinderellis Fitness, LLC Address: 346 NW 182nd Rd, Clinton, MO, 64735, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 12/07/2012 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: teach fitness & yoga classes



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	Local Municipal Court
Name of Court:	Blue Springs Municipal Court
Location of Court:	Blue Springs, Missouri
Docket/Case #:	250664374
Charge Date:	09/26/2025
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Stealing under \$750.00. Did commit the act of stealing under \$750.00 by failing to pay for items at self checkout passing all points of sale and exiting the store. Total \$ 131.49.
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Plead guilty to the amended charge Peace Disturbance
Disposition of charge:	Amended
Date of Amended Charge:	12/16/2025
Charge was Amended or reduced to:	Peace Disturbance
Amended No of Counts:	1
Amended Charge:	The City hereby amends the above charge to PEACE DISTURBANCE, a violation of Blue Springs Ordinance Section Number 220.480 and S
Amended Plea:	Guilty
Disposition of Amended Charge:	Pled guilty to Amended/Reduced Charge of Peace Disturbance



Current Status:	Final
Status Date:	12/16/2025
Disposition Date:	12/16/2025
Sentence/Penalty:	The City hereby amends the above charge to PEACE DISTURBANCE, a violation of Blue Springs Ordinance Section Number 220.480 and Stat Charge Code of ORD574.0-001N20215399.0, punishable under Section 100.080 of the Blue Springs Code of Ordinances. Fine of \$300.00.
Broker Statement	After scanning and bagging my items at self-checkout, I tapped my credit card to pay and go with an email receipt. I did not realize that my payment had not processed until I received a citation via USPS mail several weeks later. I have since paid for this and associated court costs.



End of Report

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