



IAPD Report

GENE ALEXANDER MELAMUD

CRD# 2105008

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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

GENE ALEXANDER MELAMUD (CRD# 2105008)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/10/1995
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/16/1995

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **48** 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
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No information reported.

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 **48** 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	03/10/1995
B Investors' Exchange LLC	General Securities Representative	Approved	11/13/2025
B MEMX LLC	General Securities Representative	Approved	11/13/2025
B NYSE American LLC	General Securities Representative	Approved	05/08/1995
B NYSE Arca, Inc.	General Securities Representative	Approved	11/13/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	11/13/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/10/1995
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	05/08/1995
B Alabama	Agent	Approved	07/24/2000
B Alaska	Agent	Approved	04/26/2017
B Arizona	Agent	Approved	08/15/2002
B Arkansas	Agent	Approved	02/11/2013



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	04/18/2000
B Colorado	Agent	Approved	03/05/2002
B Connecticut	Agent	Approved	12/08/1997
B Delaware	Agent	Approved	04/15/1997
B District of Columbia	Agent	Approved	06/21/2001
B Florida	Agent	Approved	03/16/1995
IA Florida	Investment Adviser Representative	Approved	03/16/1995
B Georgia	Agent	Approved	01/04/1996
B Hawaii	Agent	Approved	11/15/2023
B Idaho	Agent	Approved	01/20/2023
B Illinois	Agent	Approved	03/22/1996
B Indiana	Agent	Approved	06/07/2010
B Iowa	Agent	Approved	06/24/2024
B Kansas	Agent	Approved	06/22/2015
B Kentucky	Agent	Approved	08/05/2013
B Louisiana	Agent	Approved	06/07/2021
B Maine	Agent	Approved	04/24/2009
B Maryland	Agent	Approved	08/15/1997
B Massachusetts	Agent	Approved	10/10/2000



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	01/27/1998
B Minnesota	Agent	Approved	04/22/1999
B Mississippi	Agent	Approved	01/25/2008
B Missouri	Agent	Approved	04/19/1999
B Nevada	Agent	Approved	11/12/2019
B New Hampshire	Agent	Approved	09/10/2018
B New Jersey	Agent	Approved	04/18/1997
B New Mexico	Agent	Approved	04/09/2013
B New York	Agent	Approved	01/29/1997
B North Carolina	Agent	Approved	03/18/1999
B Ohio	Agent	Approved	02/04/1997
B Oklahoma	Agent	Approved	05/08/2019
B Oregon	Agent	Approved	07/25/2007
B Pennsylvania	Agent	Approved	12/08/1997
B Rhode Island	Agent	Approved	01/06/2005
B South Carolina	Agent	Approved	04/03/2007
B South Dakota	Agent	Approved	10/28/2019
B Tennessee	Agent	Approved	01/06/2005
B Texas	Agent	Approved	07/08/1998



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	03/20/2007
B Utah	Agent	Approved	10/05/2016
B Vermont	Agent	Approved	09/14/2018
B Virginia	Agent	Approved	08/25/2000
B Washington	Agent	Approved	06/27/2003
B West Virginia	Agent	Approved	02/12/2021
B Wisconsin	Agent	Approved	06/12/1997
B Wyoming	Agent	Approved	09/05/2019

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
2401 WEST BAY DRIVE
LARGO, FL 33770

RAYMOND JAMES & ASSOCIATES, INC.
Clearwater, FL



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, 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	09/23/2005
 General Securities Representative Examination (S7)	Series 7	03/09/1995

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/20/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/17/1995

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:



No information reported.

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
01/1995 - Present	RAYMOND JAMES & ASSOCIATES, INC.	NOT PROVIDED	Y	LARGO, FL, 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: Melamud Raisa Address: 2401 West Bay Drive, Largo, FL, 33770, United States Activity Type: Control Person Position/Title: Other (Acting), Trust advisor (Acting), Health care POA (Named Only), Power of Attorney (Acting) Investment Related: Yes Start Date: 04/22/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Helping my mother with with her investments at RJ as POA and her Trustee Delegate.



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:	Regulator
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL
Allegations:	CUSTOMERS VS. MEMBER FIRM AND REGISTERED REP ALLEGING UNSUITABLE INVESTMENTS. CLAIMANTS SEEK RECOVERY OF THEIR LOSSES.
Product Type:	Other
Alleged Damages:	\$50,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE - CASE #2003-012104
Date Notice/Process Served:	07/16/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/23/2004
Disposition Detail:	RAYMOND JAMES AND ASSOCIATES SHALL PAY CLAIMANTS, DORIA & PEDRAZ, THE SUM OF FIFTEEN THOUSAND DOLLARS (\$15,000).EACH SIDE SHALL BEAR THEIR OWN COSTS AND ATTORNEY'S FEES, NYSE FORUM FEES OF \$1,250.00 ARE TO BE PAID HALF BY CLAIMANTS AND HALF BY RESPONDENTS.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: **UNSUITABILITY**
CLIENTS, BOTH RETIREE, OPENED ACCOUNTS WITH BROKER IN JANUARY 1997 AND JUNE 1998. IN AUGUST 2000, IN RESPONSE TO THE CLIENTS' CONCERNS REGARDING DIVERSIFICATION OF THEIR ACCOUNTS, BROKER SUGGESTED THAT THEY MOVE APPROXIMATELY \$106,000 OF THEIR INVESTMENT INTO A MANAGED STOCK PROGRAM WITH MASTRAPASQUA AND ASSOCITES. CLIENTS, THROUGH THEIR ATTORNEY, ALLEGE THAT THIS INVESTMENT WITH MASTRAPASQUA WAS NOT CONSISTENT WITH THEIR CONSERVATIVE OBJECTIVES AND EXPOSED THEIR ACCOUNTS TO INAPPROPRIATE LEVELS OF RISK AND CAUSED A SEVERE LOSS OF FUNDS. PRODUCT TYPE IS MANAGED ACCOUNT AND STOCKS

Product Type: Other

Other Product Type(s): STOCKS, MANAGED ACCOUNT

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 10/29/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/21/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE-NEW YORK CASE# 2003-012104](#)

Date Notice/Process Served: 07/21/2003

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/23/2004

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE



CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT RESULT IN A SETTLEMENT OF \$10,000 OR MORE.*** UNSUITABLE RECOMMENDATIONS; THE CLAIMANTS ALLEGE THE FA RECOMMENDED UNSUITABLE INVESTMENTS BY ADVISING THEM TO INVEST IN ARMSTRONG BONDS. AS THE BONDS DECREASED IN VALUE, THEY ALLEGE THEY REPEATEDLY CALLED WITH THE DESIRE TO SELL, BUT WERE ADVISED AGAINST IT BECAUSE THE BONDS WOULD REGAIN VALUE. THE CHITTENDENS CLAIM THAT FA CALLED THEM & TOLD THEM TO SELL AT THE LOWEST PRICE FOR A LOSS OF \$17,095.10. CLAIMANTS SAY THAT SINCE THESE BONDS WERE HIGH RISK & THEY HAD CALLED WITH THE DESIRE TO SELL WHEN THEIR LOSSES WOULD HAVE BEEN MINIMAL, THEY FEEL THAT FA SHOULD PAY THE \$17,000 LOSS.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): INITIAL JANUARY 2001 COMPLAINT RE: SUITABILITY OF PREFERRED STOCK INVESTMENT. SUBSEQUENT MAY 2001 COMPLAINT REGARDING BOND INVESTMENTS.

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 01/12/2001

Complaint Pending? No

Status: Settled

Status Date: 08/29/2001

Settlement Amount: \$5,150.00

Individual Contribution Amount: \$5,150.00

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 RESULT IN A SETTLEMENT OF \$10,000 OR MORE.* INITIAL COMPLAINT RECEIVED BY FIRM IN JANUARY 2001 REGARDING SUITABILITY OF PREFERRED STOCK INVESTMENT AND DID NOT SPECIFY ANY DAMAGE AMOUNT. SUBSEQUENT COMPLAINT LETTER RECEIVED BY FIRM ON 5/7/2001 ALLEGES UNSUITABLE RECOMMENDATIONS REGARDING BOND INVESTMENTS AND ALLEGES \$17,000 DAMAGES.



End of Report

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