



## IAPD Report

# CARY EDWARD URICH

CRD# 2132001

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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

### CARY EDWARD URICH (CRD# 2132001)

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 **12/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	01/02/2024
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	05/01/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	VANDERBILT ADVISORY SERVICES	116537	Greenville, SC	01/02/2024 - 12/31/2025
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	Greenville, SC	09/21/2017 - 12/31/2023
IA	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	Greenville, SC	09/21/2017 - 12/31/2023

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
Termination	3
Judgment/Lien	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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**  
Main Address: 125 FROEHLICH FARM BLVD.  
WOODBURY, NY 11797  
Firm ID#: 112694

	Regulator	Registration	Status	Date
IA	South Carolina	Investment Adviser Representative	Approved	05/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	05/01/2025

#### Branch Office Locations

**CONSOLIDATED PORTFOLIO REVIEW CORP**  
330 E. Coffee St  
Greenville, SC 29601

#### Employment 2 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**  
Main Address: 125 FROEHLICH FARM BLVD.  
WOODBURY, NY 11797  
Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/02/2024
B	FINRA	General Securities Sales Supervisor	Approved	01/02/2024
B	FINRA	Registered Options Principal	Approved	01/02/2024
B	Arkansas	Agent	Approved	01/30/2024
B	California	Agent	Approved	01/02/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	01/02/2024
B	Georgia	Agent	Approved	01/02/2024
B	Illinois	Agent	Approved	02/20/2024
B	Maryland	Agent	Approved	01/02/2024
B	North Carolina	Agent	Approved	01/02/2024
B	Ohio	Agent	Approved	01/02/2024
B	South Carolina	Agent	Approved	01/02/2024
B	Texas	Agent	Approved	02/08/2024
B	Virginia	Agent	Approved	01/02/2024
B	Washington	Agent	Approved	01/02/2024

## Branch Office Locations

330 E. Coffee St.  
Greenville, SC 29601







## 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 4 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	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	08/02/1996
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/24/1995

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	09/18/2008
 General Securities Representative Examination (S7)	Series 7	03/11/1991

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/18/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1991



## 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	01/02/2024 - 12/31/2025	VANDERBILT ADVISORY SERVICES	CRD# 116537	Greenville, SC
B	09/21/2017 - 12/31/2023	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	Greenville, SC
IA	09/21/2017 - 12/31/2023	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	Greenville, SC
IA	11/05/2010 - 09/22/2017	H. BECK, INC.	CRD# 1763	GREENVILLE, SC
B	11/01/2010 - 09/22/2017	H. BECK, INC.	CRD# 1763	GREENVILLE, SC
IA	10/18/2010 - 10/25/2010	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	GREENVILLE, SC
B	10/12/2010 - 10/25/2010	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	GREENVILLE, SC
IA	06/09/2003 - 10/05/2010	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	GREENVILLE, SC
B	05/16/2001 - 10/05/2010	J.J.B HILLIARD, W.L. LYONS, LLC	CRD# 453	GREENVILLE, SC
B	03/20/1993 - 06/07/2001	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	03/13/1991 - 12/07/1992	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

### 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
05/2025 - Present	Consolidated Portfolio Review Corp	Investment Advisor representative	Y	Woodbury, NY, United States
01/2024 - Present	Vanderbilt Advisory Services	Investment Advisor representative	Y	Woodbury, NY, United States
01/2024 - Present	Vanderbilt Securities, LLC	Registered Representative	Y	Woodbury, NY, United States
10/2017 - Present	EM- GREENVILLE	PRESIDENT	N	GREENVILLE, SC, United States





## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2017 - 12/2023	Cary E. Urich	Insurance Agent	Y	Greenville, SC, United States
09/2017 - 12/2023	UNITED PLANNERS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
07/2017 - 12/2023	StreamLine Asset Management, LLC	Partner	Y	Greenville, SC, United States
07/2017 - 12/2023	StreamLine Asset Management, LLC	Partner	Y	Greenville, SC, United States
10/2017 - 01/2023	Crump (FMO/IMO)	Advisor	Y	Farmington, CT, United States
10/2017 - 01/2023	WealthVest (FMO/IMO)	Advisor	Y	Bozeman, MT, United States
10/2017 - 12/2019	MALLARD CREEK HOA	TREASURER	N	GREENVILLE, SC, United States
10/2010 - 09/2017	H. BECK, INC.	REG. REP.	Y	ROCKVILLE, MD, 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) Fixed Insurance Sales. Not investment related. Start date: 10/01/2017. Address: 330 E. Coffee St. Greenville SC, 29601. Title: Insurance Agent. Duties: Will provide Fixed Annuities, MYGAs, Equity Indexed Annuities, and Life Insurance to meet the needs of StreamLine clients based on in-depth needs analysis. Time spent during regular hours: 15%.

2) Simplicity (FMO/IMO). Annuity and Life Products. Investment related. Start date: 10/01/2017. Address: 330 E. Coffee St. Greenville SC, 29601. Title: Insurance Agent. Duties: Simplicity is FMO/IMO to help provide strategies and insurance-based financial products to meet client needs. Time spent during regular hours: 10%.

3) EM-Greenville. Not investment related. Start date: 10/01/2017. Address: 2 Wakefield Ct. Greenville SC, 29615. Title: President. Duties: As President, my duties are to lead the annual board meetings and to help guide the entity to most efficiently spread the Gospel. Time spent during regular hours: 0%.

4) StreamLine Asset Management, LLC. Investment related. Start date: 07/10/2017. Address: 330 E. Coffee St. Greenville SC, 29601. Title: Partner. Duties: Marketing purposes only. Time spent during regular hours: 95%.

5) StreamLine Asset Management, LLC. Not Investment related. Start date: 07/10/2017. Address: 330 E. Coffee St. Greenville SC, 29601. Title: Partner. Duties: Payroll Only. Time spent during regular hours: 5%.



## 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
Termination	3
Judgment/Lien	1

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
<b>Allegations:</b>	Unsuitability, breach of fiduciary duty, negligence and deception.
<b>Product Type:</b>	Other: Inverse/leveraged ETF's
<b>Alleged Damages:</b>	\$710,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/11/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/13/2024
<b>Settlement Amount:</b>	\$325,000.00
<b>Individual Contribution Amount:</b>	\$0.00



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<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
<b>Allegations:</b>	Unsuitability, breach of fiduciary duty, negligence and deception.
<b>Product Type:</b>	Other: Inverse/leveraged ETF's
<b>Alleged Damages:</b>	\$710,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/11/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/13/2024
<b>Settlement Amount:</b>	\$325,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
<b>Allegations:</b>	Unsuitability, breach of common law, material misrepresentation and omissions, misrepresentations of material fact, wrongful acts and self-dealing, breach of fiduciary duty, breach of good faith and fair dealing. and violation of FINRA Rule 2111 and 3030.
<b>Product Type:</b>	Other: Inverse/leveraged ETF's
<b>Alleged Damages:</b>	\$1,000,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Alleged damage amount indicated is between \$1,000,000.00 and \$5,000,000.00 and the lower amount is entered.

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	22-01463
<b>Date Notice/Process Served:</b>	07/11/2022



<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/29/2023
<b>Monetary Compensation Amount:</b>	\$450,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## 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 3

**Reporting Source:** Firm  
**Firm Name:** RAYMOND JAMES FINANCIAL SERVICES, INC  
**Termination Type:** Discharged  
**Termination Date:** 10/21/2010  
**Allegations:** NO LONGER COMFORTABLE SUPERVISING - MISPRESENTATION REGARDING MATERIAL FACTS REGARDING TERMINATION FROM PRIOR FIRM.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.  
**Termination Type:** Discharged  
**Termination Date:** 10/21/2010  
**Allegations:** NO LONGER COMFORTABLE SUPERVISING - MISPRESENTATION REGARDING MATERIAL FACTS REGARDING TERMINATION FROM PRIOR FIRM.  
**Product Type:** No Product

**Broker Statement** MY RESPONSE TO THE ALLEGATIONS RAYMOND JAMES PROVIDED ON MY U-4 THAT THEY WERE "NO LONGER COMFORTABLE SUPERVISING - MISREPRESENTATION REGARDING MATERIAL FACTS REGARDING TERMINATION FROM PRIOR FIRM" AND LISTING "SECURITIES VIOLATION" ON THE U-4. I WAS INTRODUCED TO RAYMOND JAMES (RJ) BY A RECRUITER ON 10/8/10 AND SPENT APPROX. 30 MINUTES ON THE PHONE WITH A RJ COMPLIANCE REP. MOST OF THE CALL I SPENT PROVIDING DETAILED BACKGROUND INFORMATION ON THE EVENTS THAT TOOK PLACE AT HL AND SUBSEQUENT "ALLOWED TO RESIGN." RJ FELT COMFORTABLE WITH WHAT TOOK PLACE AND OFFERED ME THE ABILITY TO JOIN THE FIRM, WHICH I ACCEPTED. I BEGAN TRANSITIONING CLIENTS TO RJ. ON 10/20/10, THE RJ COMPLIANCE REPRESENTATIVE WITH WHICH I SPOKE, SET UP A CONFERENCE CALL TO DISCUSS SOME ISSUES AFTER A "CREDIBLE" HILLIARD LYONS(HL) EMPLOYEE CALLED HER. DURING THE CALL ON THE 20TH, THE RJ COMPLIANCE REPRESENTATIVE ASKED ME IF I HAD ACCESS TO THE CLIENT'S CHECKBOOK THAT SURROUNDED MY LEAVING HL. I, WITHOUT HESITATION, REPLIED THAT THE CLIENT ASKED ME TO HOLD HIS CHECKBOOK SINCE HE VISITED ME 3-4 TIMES/WK AND WAS ALWAYS FORGETTING HIS CHECKBOOK. THE RJ COMPLIANCE REP. THEN TOLD ME THAT I ANSWERED THAT QUESTION DIFFERENTLY WHEN WE SPOKE ON 10/8/10. I REPLIED THAT "I DON'T EVEN REMEMBER YOU ASKING ME THAT QUESTION" AND EMPHASIZED THAT WHEN SHE ASKED ME THAT SAME QUESTION A FEW MOMENTS AGO, I PROVIDED AN IMMEDIATE HONEST RESPONSE. SHE EITHER DIDN'T ASK ME, I DIDN'T HEAR THE QUESTION OR I DIDN'T UNDERSTAND THE QUESTION WHEN SHE ASKED IT ON 10/8/10. THE RJ COMPLIANCE REP. WAS UNDETERRED



WITH HER FEELING THAT I HAD MISREPRESENTED MYSELF AND THE CIRCUMSTANCES THAT LED TO MY LEAVING HL. THE FOLLOWING DAY (10/21/10) RJ DECIDED TO TERMINATE ME. I REPLIED HONESTLY TO THE QUESTIONS THAT WERE PUT BEFORE ME ON 10/8/10 AND ALSO ON 10/20/10. I BELIEVE THE LANGUAGE RJ PROVIDED FOR MY U-4 IS FAR TOO HARSH AND BORDERS ON NEGLIGENT. I CAN ONLY SAY THAT I ANSWERED THE QUESTIONS THAT WERE ASKED (ONES IN WHICH I HEARD AND UNDERSTOOD) HONESTLY. I HAVE A DIFFICULT TIME UNDERSTANDING HOW I COULD HAVE CREATED A "SECURITIES VIOLATION" WHEN I DIDN'T HAVE A SINGLE CLIENT AT RJ. RJ HAS A RESPONSIBILITY TO BE FAIR IN HOW THEY COMMUNICATE THEIR PERCEPTIONS TO FINRA TO UPDATE MY U-4. A MORE APPROPRIATE RESPONSE FROM RJ MIGHT HAVE BEEN TO ASK ME TO RESIGN IF THEY NO LONGER FELT COMFORTABLE WITH ME.

**Disclosure 2 of 3**

**Reporting Source:** Firm  
**Firm Name:** RAYMOND JAMES FINANCIAL SERVICES, INC  
**Termination Type:** Discharged  
**Termination Date:** 10/21/2010  
**Allegations:** NO LONGER COMFORTABLE SUPERVISING -MISPRESENTATION REGARDING MATERIAL FACTS REGARDING TERMINATION FROM PRIOR FIRM.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** RAYMOND JAMES FINANCIAL SERVICES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 10/21/2010  
**Allegations:** NO LONGER COMFORTABLE SUPERVISING - MISPRESENTATION REGARDING MATERIAL FACTS REGARDING TERMINATION FROM PRIOR FIRM.  
**Product Type:** No Product

**Disclosure 3 of 3**

**Reporting Source:** Firm  
**Firm Name:** JJB HILLIARD WL LYONS LLC  
**Termination Type:** Permitted to Resign  
**Termination Date:** 09/27/2010  
**Allegations:** MR. URICH ACCEPTED A GIFT FROM A CLIENT WITHOUT FOLLOWING FIRM PROCEDURES FOR APPROVAL. \*MR. URICH HAS RETURNED THE GIFT TO THE CLIENT'S ESTATE.  
**Product Type:** No Product  
**Firm Statement** MR. URICH HAS RETURNED THE GIFT TO THE CLIENT'S ESTATE.

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<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	J.J.B. HILLIARD, W.L. LYONS, LLC
<b>Termination Type:</b>	Permitted to Resign
<b>Termination Date:</b>	09/27/2010
<b>Allegations:</b>	MR URICH ACCEPTED A GIFT FROM A CLIENT WITHOUT FOLLOWING FIRM PROCEDURES FOR APPROVAL. MR URICH HAS RETURNED THE GIFT TO THE CLIENT'S ESTATE.
<b>Product Type:</b>	No Product
<b>Broker Statement</b>	MR URICH HAS RETURNED THE GIFT TO THE CLIENTS ESTATE.





## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	Internal Revenue Services
<b>Judgment/Lien Amount:</b>	\$65,211.46
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/09/2025
<b>Date Individual Learned:</b>	07/14/2025
<b>Type of Court:</b>	Register of Deeds
<b>Name of Court:</b>	Register of Deeds
<b>Location of Court:</b>	Greenville, SC
<b>Docket/Case #:</b>	2025037368
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	On IRS Installment Payment Plan. Lien is automatic on balances over \$50,000



## End of Report

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