



IAPD Report

BARBARA B CORRAO

CRD# 2142548

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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

BARBARA B CORRAO (CRD# 2142548)

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 **10/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	06/03/1996
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	06/03/1996

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **14** 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	CHASE MANHATTAN INVESTMENT SERVICES, INC.	25574	CHICAGO, IL	11/20/1991 - 06/07/1996

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	5



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 **14** 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
	FINRA	General Securities Representative	Approved	06/03/1996
	Investors' Exchange LLC	General Securities Representative	Approved	10/16/2025
	MEMX LLC	General Securities Representative	Approved	10/16/2025
	NYSE American LLC	General Securities Representative	Approved	06/10/1996
	NYSE Arca, Inc.	General Securities Representative	Approved	10/16/2025
	NYSE Texas, Inc.	General Securities Representative	Approved	10/16/2025
	Nasdaq PHLX LLC	General Securities Representative	Approved	06/03/1996
	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
	New York Stock Exchange	General Securities Representative	Approved	06/03/1996
	California	Agent	Approved	09/16/2015
	Colorado	Agent	Approved	07/08/2010
	Delaware	Agent	Approved	10/06/2020
	Florida	Agent	Approved	06/03/1996



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/03/1996
B Georgia	Agent	Approved	02/14/1997
B Maryland	Agent	Approved	10/27/2009
B Massachusetts	Agent	Approved	01/02/2009
B New Jersey	Agent	Approved	08/21/2000
B New York	Agent	Approved	06/10/1996
B North Carolina	Agent	Approved	10/21/2015
B Ohio	Agent	Approved	09/16/2015
B Pennsylvania	Agent	Approved	10/26/2009
B Rhode Island	Agent	Approved	03/07/2024
B Texas	Agent	Approved	09/10/2015
IA Texas	Investment Adviser Representative	Restricted Approval	02/21/2018

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
201 E. Las Olas Blvd.
Suite 1630
Fort Lauderdale, FL 33301



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, 2 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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	10/31/1991
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/21/1996
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B Uniform Securities Agent State Law Examination (S63)	Series 63	05/31/1996
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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
B	11/20/1991 - 06/07/1996	CHASE MANHATTAN INVESTMENT SERVICES, INC.	CRD# 25574	CHICAGO, IL

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
06/1996 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	Fort Lauderdale, 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 : Pinion, Inc.
Address: 1203 Oakmont,N. Lauderdale, FL
Nature of the Business: Non Profit Org. - Founder/Leadership
Position/Title: Director
Investment Related:No
Start Date: 12/01/1996
Hours per month devoted to this business: 8
Hours per month devoted to this business during trading hours: 1
Description of duties: VP Membership: maintain member database, run membership drive. Facilitate event RSVPs, make deposits in the PNC Pinion account when necessary.
- 2)Name of Business: Lisa Corrao, Inc. Address: 1203 Oakmont, N. Lauderdale, FL, 33068, United States Activity Type: Other
Position/Title: Bookkeeper Investment Related: No Start Date: 01/01/2009 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: The company belongs to my daughter. I am listed as the Secretary of this S Corp. but I only assist with some bookkeeping (non paid).



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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION. ACTIVITY DATES: 11/19/2007 THRU 8/11/2009.
Product Type:	Other: ARS - CLOSED END FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO ALLEGED LOSS. FIRM ESTIMATED LOSS UNDER \$5,000.
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:	08/12/2011
Complaint Pending?	No
Status:	Settled
Status Date:	08/12/2011
Settlement Amount:	\$50,000.00



Individual Contribution Amount: \$0.00

Broker Statement THIS SETTLEMENT IS THE RESULT OF A FIRM WIDE AGREEMENT TO REPURCHASE AUCTION RATE SECURITIES (ARS) THAT EXPERIENCED FAILED AUCTIONS AND LIMITED LIQUIDITY THROUGHOUT THE INDUSTRY. THE SETTLEMENT REPURCHASE OF THE ARS WAS EXECUTED AT PAR AND THE FINANCIAL ADVISOR WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 2 of 5

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 SETTLE FOR \$15,000 OR MORE** SUITABILITY - ACTIVITY DATES ARE FROM 6/30/08 THRU 10/31/08.

Product Type: Annuity-Variable

Alleged Damages: \$109,000.00

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: 03/02/2009

Complaint Pending? No

Status: Denied

Status Date: 05/04/2009

Settlement Amount:

Individual Contribution Amount:

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 SETTLE FOR \$15,000 OR MORE**

Disclosure 3 of 5

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 SETTLE FOR \$15,000 OR MORE**CLIENT ALLEGES UNAUTHORIZED TRADES - ACTIVITY DATES ARE FROM 7/1/04 THRU



10/31/07. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN ACCESS OF \$5,000.

Product Type: Debt-Asset Backed

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN EXCESS OF \$5000.

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: 10/28/2008

Complaint Pending? No

Status: Denied

Status Date: 11/28/2008

Settlement Amount:

Individual Contribution Amount:

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 SETTLE FOR \$15,000 OR MORE **

Disclosure 4 of 5

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 SETTLE FOR \$10,000 OR MORE** SUITABILITY - CLIENT ALLEGES INVESTMENTS WERE UNSUITABLE AND CAUSED LOSSES OF APPROX. \$88,721

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$88,721.00

Customer Complaint Information

Date Complaint Received: 09/21/2005

Complaint Pending? No

Status: Denied

Status Date: 10/27/2005

Settlement Amount:

**Individual Contribution Amount:****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 SETTLE FOR \$10,000 OR MORE

Disclosure 5 of 5**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

RAYMOND JAMES & ASSOCIATES, INC.

Allegations:

UPDATE 10/30/03 - CLAIM WAS SETTLED FOR \$3,500 ON APPROX. 10/24/03 AFTER THE EVENT WAS NON-REPORTABLE AND ARCHIVED. EVENT IS STILL NOT REPORTABLE BECAUSE IT SETTLED FOR LESS THAN \$10,000
UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE CLIENT ALLEGES TRANSACTIONS WERE UNSUITABLE BASED ON INVESTMENT OBJECTIVES AND RISK TOLERANCE. NO DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES \$5000.00 OR OVER.

Product Type:

Equity - OTC

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:** 07/11/2001**Complaint Pending?** No**Status:** Settled**Status Date:** 10/24/2003**Settlement Amount:** \$3,500.00**Individual Contribution Amount:** \$0.00**Broker Statement**

UPDATE 10/30/03 - CLAIM WAS SETTLED FOR \$3,500 ON APPROX. 10/24/03 AFTER THE EVEN WAS NON-REPORTABLE AND ARCHIVED. EVENT IS STILL NOT REPORTABLE BECAUSE IT SETTLED FOR LESS THAN \$10,000
UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE



End of Report

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