



## IAPD Report

# DAVID AARON JONES

CRD# 2182310

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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

### DAVID AARON JONES (CRD# 2182310)

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 **09/25/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/21/2019
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/21/2019

### QUALIFICATIONS

This representative is currently registered in **1** 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
IA	LPL FINANCIAL LLC	6413	PHOENIX, AZ	11/03/2011 - 02/27/2019
B	LPL FINANCIAL LLC	6413	PHOENIX, AZ	11/22/2010 - 02/27/2019
IA	LPL FINANCIAL CORPORATION	6413	TEMPE, AZ	01/28/2009 - 10/07/2009

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



## 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 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY  
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	02/21/2019
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	02/21/2019
<b>B</b>	Alabama	Agent	Approved	04/26/2023
<b>B</b>	Arizona	Agent	Approved	02/25/2019
<b>B</b>	California	Agent	Approved	02/21/2019
<b>B</b>	Colorado	Agent	Approved	08/27/2020
<b>B</b>	Connecticut	Agent	Approved	02/21/2019
<b>B</b>	Delaware	Agent	Approved	02/21/2019
<b>B</b>	Florida	Agent	Approved	05/20/2019
<b>B</b>	Georgia	Agent	Approved	02/21/2019
<b>B</b>	Illinois	Agent	Approved	02/21/2019
<b>B</b>	Indiana	Agent	Approved	05/20/2019
<b>B</b>	Iowa	Agent	Approved	02/27/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	01/15/2020
<b>B</b> Minnesota	Agent	Approved	02/28/2019
<b>B</b> Montana	Agent	Approved	08/27/2020
<b>B</b> New Jersey	Agent	Approved	05/20/2019
<b>B</b> New Mexico	Agent	Approved	02/21/2019
<b>B</b> New York	Agent	Approved	03/12/2019
<b>B</b> North Carolina	Agent	Approved	06/09/2025
<b>B</b> North Dakota	Agent	Approved	05/28/2019
<b>B</b> Oklahoma	Agent	Approved	02/26/2019
<b>B</b> Oregon	Agent	Approved	02/21/2019
<b>B</b> Pennsylvania	Agent	Approved	05/20/2019
<b>B</b> South Carolina	Agent	Approved	03/05/2019
<b>B</b> Texas	Agent	Approved	02/21/2019
<b>B</b> Utah	Agent	Approved	05/22/2019
<b>B</b> Washington	Agent	Approved	02/21/2019
<b>B</b> Wisconsin	Agent	Approved	05/21/2019

#### Branch Office Locations

##### RAYMOND JAMES FINANCIAL SERVICES

3423 E. Bell Road  
Phoenix, AZ 85032

##### RAYMOND JAMES FINANCIAL SERVICES

300 N Beeline Highway  
Payson, AZ 85541

##### RAYMOND JAMES FINANCIAL SERVICES



## Qualifications

826 E UNION HILLS BLDG  
E PHOENIX, AZ 85024

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
Main Address: 880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716  
Firm ID#: 149018

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	02/25/2019
IA California	Investment Adviser Representative	Approved	02/21/2019
IA Texas	Investment Adviser Representative	Approved	02/21/2019

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
3423 E. Bell Road  
Phoenix, AZ 85032



## 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
General Securities Representative Examination (S7)	Series 7	12/09/1994
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/21/1991

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/1997
Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1991

### 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	11/03/2011 - 02/27/2019	LPL FINANCIAL LLC	CRD# 6413	PHOENIX, AZ
B	11/22/2010 - 02/27/2019	LPL FINANCIAL LLC	CRD# 6413	PHOENIX, AZ
IA	01/28/2009 - 10/07/2009	LPL FINANCIAL CORPORATION	CRD# 6413	TEMPE, AZ
B	01/20/2009 - 10/07/2009	LPL FINANCIAL CORPORATION	CRD# 6413	TEMPE, AZ
IA	02/23/2006 - 01/21/2009	CUE FINANCIAL GROUP, INC.	CRD# 21033	TEMPE, AZ
B	02/07/2006 - 01/21/2009	CUE FINANCIAL GROUP, INC.	CRD# 21033	TEMPE, AZ
IA	06/11/2004 - 02/08/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SUN CITY, AZ
B	05/24/2004 - 02/08/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
IA	12/12/2003 - 05/21/2004	ZIONS INVESTMENT SECURITIES, INC	CRD# 17776	PHOENIX, AZ
B	12/01/2003 - 05/21/2004	ZIONS INVESTMENT SECURITIES, INC.	CRD# 17776	SALT LAKE CITY, UT
IA	08/15/2002 - 11/04/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MESA, AZ
B	07/12/1999 - 11/04/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	06/23/1998 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	
B	04/11/1995 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	06/27/1994 - 03/24/1995	MARINE MIDLAND SECURITIES, INC.	CRD# 6956	NEW YORK, NY
B	01/15/1994 - 06/28/1994	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA
B	11/12/1992 - 05/19/1993	WESTAMERICA INVESTMENT GROUP	CRD# 6626	SCOTTSDALE, AZ



## 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>B</b>	10/24/1991 - 09/23/1992	PML SECURITIES COMPANY	CRD# 4082	NEWARK, DE

### 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
02/2019 - Present	DESERT FINANCIAL CREDIT UNION	Associate/Employee	Y	PHOENIX, AZ, United States
02/2019 - Present	Desert Financial Wealth Management	Associate/Employee	N	Phoenix, AZ, United States
02/2019 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISER	Y	PHOENIX, AZ, United States
02/2019 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	PHOENIX, AZ, United States
11/2010 - 02/2019	LPL FINANCIAL, LLC	FINANCIAL ADVISOR	Y	PHOENIX, AZ, 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: Desert Financial Credit Union Address: 3423 E. Bell Road, Phoenix, AZ, 85032, United States Activity Type: Bank or Credit Union Associate Position/Title: Associate/Employee Investment Related: Yes Start Date: 02/21/2019 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 81+ Description of duties: financial advisor

(2)Name of Business: Desert Financial Wealth Management Address: 3423 E. Bell Road, Phoenix, AZ, 85032, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 02/22/2019 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 21-40 Description of duties: financial advisor



## 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

### 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

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/18/2006

**Docket/Case Number:** 05-03502/ARB060010

**Employing firm when activity occurred which led to the regulatory action:** CUE FINANCIAL GROUP, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** RESPONDENT FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

**Current Status:** Final

**Resolution:** Other

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No



**Resolution Date:** 04/18/2006

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENT'S NASD REGISTRATION IS SUSPENDED APRIL 18, 2006 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

**Regulator Statement** ON MARCH 28, 2006, RESPONDENT FILED A TIMELY REQUEST FOR A HEARING IN RESPONSE TO A PRE-SUSPENSION NOTICE SENT BY NASD PURSUANT TO RULE 9554, WHICH STATED HIS ASSOCIATION WITH ANY NASD MEMBER FIRM WOULD BE SUSPENDED FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD. HOWEVER, HIS REQUEST FOR A HEARING DID NOT COMPLY WITH RULE 9554(E), WHICH PROVIDES A "REQUEST FOR A HEARING MUST SET FORTH WITH SPECIFICITY ANY AND ALL DEFENSES TO THE NASD ACTION." RESPONDENT WAS DIRECTED TO SERVE AND FILE SUCH STATEMENT NO LATER THAN MARCH 21, 2006, HOWEVER HE FAILED TO FILE SUCH STATEMENT. ON MARCH 28, 2006, NASD FILED A MOTION FOR ORDER DEEMING NOTICE OF SUSPENSION TO BE FINAL NASD ACTION, PURSUANT TO RULE 9559(M). ABSENT RESPONDENT'S REQUEST FOR A HEARING, HIS REGISTRATION WOULD HAVE BEEN SUSPENDED 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION, THAT IS, ON MARCH 16, 2006. SINCE RESPONDENT FAILED TO SPECIFY ANY DEFENSE, PRODUCE ANY INFORMATION TO SUPPORT ANY DEFENSE, OR APPEAR AT THE PRE-HEARING CONFERENCE TO DEMONSTRATE GOOD CAUSE WHY HE FAILED TO COMPLY WITH THE ORDER OF THE HEARING OFFICER, PURSUANT TO RULE 9559(M), HE IS DEEMED TO HAVE ABANDONED ANY DEFENSE TO THE NOTICE OF SUSPENSION, AND TO WAIVE ANY OPPORTUNITY FOR A HEARING. ACCORDINGLY, HIS REQUEST FOR A HEARING IS DISMISSED, AND THE NOTICE UNDER RULE 9550 SERIES IS DEEMED TO BE FINAL NASD ACTION. SUSPENSION LIFTED APRIL 25, 2006; NASD RECEIVED NOTIFICATION THAT THE AWARD OR SETTLEMENT AGREEMENT HAS BEEN SATISFIED OR SATISFACTORY INFORMATION SHOWING VALID REASONS FOR NON-COMPLIANCE.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:** Suspension

**Date Initiated:** 04/18/2006

**Docket/Case Number:** 05-03502/ARB060010

**Employing firm when activity occurred which led to the regulatory action:** CUE FINANCIAL GROUP, INC.

**Product Type:** No Product

**Allegations:** RESPONDENT FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

**Current Status:** Final



**Resolution:** Settled

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 04/25/2006

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL CAPACITIES

**Duration:** 1DAY

**Start Date:** 04/24/2006

**End Date:** 04/25/2006

**Broker Statement** SUSPENSION WAS LIFTED ON APRIL 25, 2006. NASD RECEIVED NOTIFICATION THAT THE AWARD WAS PAID IN FULL. RESPONDENT DIDN'T BELIEVE THAT FORMER EMPLOYER WOULD ARBITRATE AN AMOUNT OF MONEY THEY CLAIMED WAS DUE THEM. HE PROVIDED NO DEFENSE AND THE ARBITRATORS FOUND IN FAVOR OF EMPLOYER.



## End of Report

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