IAPD Report

GUY GAINES QUINN

CRD# 2212903

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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

GUY GAINES QUINN (CRD# 2212903)

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 **09/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/01/2006
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	05/06/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	Nicholasville, KY	12/14/2006 - 10/13/2009
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	BONITA SPRINGS, FL	11/19/2004 - 12/07/2006
B	RAYMOND JAMES & ASSOCIATES, INC.	705	BONITA SPRINGS, FL	07/26/2004 - 12/07/2006

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
Customer Dispute	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 **16** 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	FINRA	General Securities Principal	Approved	12/01/2006
B	FINRA	General Securities Representative	Approved	12/01/2006
B	FINRA	General Securities Sales Supervisor	Approved	12/01/2006
B	Arizona	Agent	Approved	09/23/2020
B	Arkansas	Agent	Approved	08/17/2022
B	California	Agent	Approved	12/01/2006
B	Colorado	Agent	Approved	01/25/2007
B	Florida	Agent	Approved	12/04/2006
B	Georgia	Agent	Approved	12/01/2006
B	Illinois	Agent	Approved	01/09/2017
B	Indiana	Agent	Approved	01/19/2017
B	Kentucky	Agent	Approved	12/01/2006
B	Michigan	Agent	Approved	11/03/2009

Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	07/15/2019
B	New Jersey	Agent	Approved	09/18/2020
B	North Carolina	Agent	Approved	11/13/2023
B	Pennsylvania	Agent	Approved	01/09/2018
B	Tennessee	Agent	Approved	06/11/2019
B	Texas	Agent	Approved	10/13/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
1160 Battery St
Fl 1 E
SAN FRANCISCO, CA 94111

RAYMOND JAMES FINANCIAL SERVICES
Lexington, KY

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	Florida	Investment Adviser Representative	Approved	05/06/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	10/19/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
Lexington, KY

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
1160 Battery St
FL 1 E
San Francisco, CA 94111

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	NFA Branch Manager Examination (S30)	Series 30	01/18/2006
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/21/2005
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/07/2005
B	General Securities Principal Examination (S24)	Series 24	03/08/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	12/28/2005
B	General Securities Representative Examination (S7)	Series 7	08/07/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/14/2006 - 10/13/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	Nicholasville, KY
IA	11/19/2004 - 12/07/2006	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BONITA SPRINGS, FL
B	07/26/2004 - 12/07/2006	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BONITA SPRINGS, FL
B	11/29/1999 - 08/23/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	07/06/1998 - 11/29/1999	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	03/05/1993 - 07/02/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	03/05/1993 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	08/10/1992 - 03/04/1993	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	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
12/2018 - Present	Elevon wealth Management	Independent Contractor	N	LEXINGTON, KY, United States
01/2010 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	ADVISOR	Y	BONITA SPRINGS, FL, United States
12/2006 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	BONITA SPRINGS, FL, United States
04/2007 - 04/2023	SOUTHWEST FLORIDA WEALTH GROUP	Other	N	BONITA SPRINGS, 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: Elevon wealth Management Address: 1124 Newman Rd., LEXINGTON, KY, 40515-9591, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date:

Registration & Employment History

OTHER BUSINESS ACTIVITIES

12/18/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Supporting the services provided to my clients that were transitioned to Elevon as of a succession agreement.

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
Customer Dispute	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:	Individual
Regulatory Action Initiated By:	GA INSURANCE COMMISSION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	02/01/2001
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	EDWARD JONES
Product Type:	Insurance
Other Product Type(s):	
Allegations:	I FAILED TO COMPLETE THE REQUIRED ETHICS COUSE HOURS BY 3 HOURS. I HAD ALL THE OTHER COURSES, AND GA SUSPENDED MY INSURANCE LICENSE
Current Status:	Final
Resolution:	Other
Resolution Date:	05/01/2001
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	02/2001 - 05/2001 INSURANC LICENSE WAS SUSPENDED UNITL I

	COMPELTED 3 HOURS OF ETHICS
Broker Statement	I HAD ONLY COMPLETED ONE ETHICS COURSE FOR 3 HOURS AND DIDN'T REALIZE I NEEDED 6 HOURS OF ETHICS. THE SUSPENSION CAS GIVE TO ME.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	THE CLIENT ALLEGED THAT SOME CHANGES WERE MADE TO HER ACCOUNT AND, AS A RESULT, THE VALUE IS DOWN. SHE ALSO ALLEGED THAT SHE WAS NOT TOLD ABOUT THE COMMISSIONS ON THE PURCHASE OF THESE BONDS. SHE CLAIMED THAT SHE HAS LOST APPROXIMATELY $6,500.00 AS A RESULT OF THESE CHANGES TO HER PORTFOLIO.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$6,500.00

Customer Complaint Information

Date Complaint Received:	05/20/2002
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE IR INDICATED THAT DURING HIS INITIAL MEETING WITH THE CLIENT, SHE WAS VERY CONCERNED ABOUT THE DECLINE IN VALUE OF HER EQUITY MUTUAL FUNDS. MR. QUINN SUGGESTED THAT SHE MAY WANT TO SELL HER STOCK MUTUAL FUNDS, AND BUY INDIVIDUAL BONDS FOR INCOME. SINCE THE CLIENT WAS VERY CONCERNED ABOUT THE SAFETY OF THESE BONDS, SHE ONLY WANTED INSURED BONDS. THEREFORE, MR. QUINN SUGGESTED ONLY INSURED TAX FREE BONDS. THE IR PROVIDED THE CLIENT WITH A BROCHURE ON "HOW BONDS WORK", DURING THEIR INITIAL VISIT. ALTHOUGH THE BOND VALUES HAVE DECLINED, THE CLIENT IS STILL EARNING THE STATED RATE OF INTEREST ON THE FULL FACE AMOUNT. IT WAS MY UNDERSTANDING, THAT THE IR PROPERLY DISCLOSED THE FEATURES OF THESE BONDS AT THE TIME OF PURCHASE. THE CLIENT'S CLAIM WAS DENIED.

End of Report

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