



IAPD Report

Alyn Scott Rumbold

CRD# 2254032

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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

Alyn Scott Rumbold (CRD# 2254032)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/01/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	05/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	LPL FINANCIAL LLC	6413	FLAGSTAFF, AZ	04/24/2020 - 05/16/2025
IA	LPL FINANCIAL LLC	6413	FLAGSTAFF, AZ	04/24/2020 - 05/16/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	FLAGSTAFF, AZ	07/11/2017 - 04/30/2020

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	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 **19** 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 Representative	Approved	05/01/2025
B	FINRA	General Securities Sales Supervisor	Approved	05/01/2025
B	Alaska	Agent	Approved	05/01/2025
B	Arizona	Agent	Approved	05/01/2025
B	California	Agent	Approved	05/01/2025
B	Colorado	Agent	Approved	05/01/2025
B	Florida	Agent	Approved	05/01/2025
B	Idaho	Agent	Approved	05/02/2025
B	Illinois	Agent	Approved	05/21/2025
B	Maryland	Agent	Approved	05/01/2025
B	Nevada	Agent	Approved	05/01/2025
B	New Jersey	Agent	Approved	05/01/2025
B	New Mexico	Agent	Approved	05/01/2025



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	05/01/2025
B Ohio	Agent	Approved	05/01/2025
B Oklahoma	Agent	Approved	05/01/2025
B Oregon	Agent	Approved	05/01/2025
B Texas	Agent	Approved	05/01/2025
B Utah	Agent	Approved	05/01/2025
B Virginia	Agent	Approved	05/01/2025
B Washington	Agent	Approved	05/01/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

1600 W University Ave
Suite 210
Flagstaff, AZ 86001

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	05/01/2025
IA Texas	Investment Adviser Representative	Restricted Approval	05/01/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

16000 W University Ave
Suite 210



Qualifications

Flagstaff, AZ 86001



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 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/21/2015
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/03/2015
General Securities Principal Examination (S24)	Series 24	11/02/1995

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/22/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/11/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	09/10/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	04/24/2020 - 05/16/2025	LPL FINANCIAL LLC	CRD# 6413	FLAGSTAFF, AZ
IA	04/24/2020 - 05/16/2025	LPL FINANCIAL LLC	CRD# 6413	FLAGSTAFF, AZ
IA	07/11/2017 - 04/30/2020	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	FLAGSTAFF, AZ
B	08/20/2014 - 04/30/2020	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	FLAGSTAFF, AZ
B	05/28/2002 - 08/28/2014	EDWARD JONES	CRD# 250	FLAGSTAFF, AZ
B	07/24/1992 - 06/12/2002	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	07/24/1992 - 06/12/2002	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Flagstaff, AZ, United States
05/2025 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Flagstaff, AZ, United States
04/2020 - 05/2025	LPL Financial, LLC	Registered Representative	Y	Flagstaff, AZ, United States
09/2015 - 04/2020	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Flagstaff, AZ, United States
08/2014 - 04/2020	Raymond James Financial Services, Inc.	Registered Representative	Y	Flagstaff, 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: Flagstaff Industrial Development Authority Address: City of Flagstaff Municipal Building, Flagstaff, AZ, 86001, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: No Start Date: 08/01/2013 Hours per month devoted to this business: 0-1 Hours per month devoted to



Registration & Employment History



OTHER BUSINESS ACTIVITIES

this business during trading hours: 0-1 Description of duties: Participate in meetings whenever they occur, which has been almost never. I am a volunteer citizen member.

(2)Name of Business: Merlin Planning & Investment Services Address: 1600 W University Ave Ste 210, Flagstaff, AZ, 86001-3154, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 04/05/2020 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: This is my DBA for my practice with Raymond James Financial Advisors

(3)Name of Business: San Francisco de Asis Parish Address: 1600 E Route 66, Flagstaff, AZ, 86001, United States Activity Type: Religious Position/Title: Finance/Investment Committee Member Investment Related: Yes Start Date: 06/01/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am on the Finance Council for the church, which reviews the financial position of the parish each month and makes appropriate recommendations as needed.

(4)Name of Business: Silvertree Wealth Partners Address: 1600 W University Ave Ste 210, Flagstaff, AZ, 86001-3154, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date: 05/01/2025 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial advisor under EPS



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	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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES RECEIVING POOR ADVICE TO SELL A LISTED EQUITY ON SEPTEMBER 17, 2013 AND TO PURCHASE A LISTED EQUITY ON JUNE 12, 2014.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES EXCEED \$5000.00
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:	11/20/2014
Complaint Pending?	No
Status:	Settled



Status Date: 02/18/2015
Settlement Amount: \$3,425.50
Individual Contribution Amount: \$0.00
Firm Statement AFTER COMPLETION OF THE FIRM'S INVESTIGATION, CLIENT'S CLAIM WAS RESOLVED IN THE AMOUNT OF \$3,425.50.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES
Allegations: CLIENT ALLEGES RECEIVING POOR ADVICE TO SELL A LISTED EQUITY ON SEPTEMBER 17, 2013 AND TO PURCHASE A LISTED EQUITY ON JUNE 12, 2014.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$5,000.00
Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES EXCEED \$5000.00
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: 11/20/2014
Complaint Pending? No
Status: Settled
Status Date: 02/18/2015
Settlement Amount: \$3,425.00
Individual Contribution Amount: \$0.00

Broker Statement The client claimed that I recommended he sell a stock which had not been performing well for him at the time, and then to buy a different stock in its place (partly because of its substantial dividend and the fact that it was on the firm's recommended list at the time) in order to "gin up revenue." In point of fact, as the complaint itself indicates here, the sale and purchase took place 9 months apart and were completely unrelated to one another.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES



Allegations: 05/00/2002-06/17/2009; THE CLIENT HAS SEVERAL CONCERNS REGARDING MISREPRESENTATION, SUITABILITY AND DISCLOSURE OF FEES. THE CLIENT STATES THAT WITH HER FORMER FA SHE FELT HER ACCOUNT HAD DIVERSIFICATION AND STABILITY AND TO DATE SHE HAS NEITHER. THE CLIENT STATES SHE WILL TAKE PARTIAL RESPONSIBILITY FOR WHAT HAS TRANSPIRED IN THE ACCOUNT, HOWEVER, CLAIMS COSTS WERE RARELY EXPLAINED, THE FA DID NOT TAKE THE TIME TO EXPLAIN INVESTMENTS, THERE WAS NO CONTACT FOR MONTHS, WAS NOT INFORMED OF SURRENDER CHARGES OR THAT EARLY WITHDRAWALS WERE SUBJECT TO IRS PENALTY, OR LIFE INSURANCE WITH PROTECTIVE WAS DOWNGRADED TO B-. THE CLIENT WANTS FUNDS REMOVED FROM EDWARD JONES WITHOUT FEES, WANTS A REFUND OF PROTECTIVE LIFE INSURANCE PAYMENTS FOR THE LAST YEAR AND WANTS ALL INVESTMENTS SINCE CURRENT FA TOOK OVER RETURNED PLUS INTEREST. FILING REQUIRED.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$5,000.00

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: 06/23/2009

Complaint Pending? No

Status: Denied

Status Date: 07/24/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE FA STATED THAT COSTS ASSOCIATED WITH EACH MUTUAL FUND AND VARIABLE ANNUITY PURCHASE WERE DISCUSSED. PROSPECTUSES AND CONFIRMS WERE ALSO PROVIDED. THE UNAUTHORIZED TRADES THE CLIENT MENTIONS WERE ACTUALLY INITIATED BY EDWARD JONES TO SATISFY MARGIN CALLS DUE TO THE SIZE OF THE MARGIN LOAN. THE INFORMATION REGARDING SATISFYING MARGIN CALLS THAT IS CONTAINED IN THE ACCOUNT AGREEMENT WAS AGAIN EXPLAINED TO THE CLIENT. THE ANNUITIES THE CLIENT MENTIONS WERE FUNDED BY 1035 EXCHANGES FROM ANNUITIES ALREADY OWNED WHICH MEANS THE MONIES WERE ALREADY SUBJECT TO EARLY WITHDRAWAL. THE FA STATED THAT RISK WAS DISCUSSED WITH THE CLIENT. CALLS TO SET UP APPOINTMENTS FOR PORTFOLIO REVIEWS WERE UNRETURNED. THE CLIENT'S DISAPPOINTMENT WITH PERFORMANCE IS UNDERSTANDABLE, HOWEVER, ATTRIBUTED TO MARKET FLUCTUATION AND MARKET CONDITIONS WHICH ARE RISKS ASSOCIATED WITH INVESTING. CLAIM WAS DENIED.



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 1

Reporting Source:	Individual
Firm Name:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	08/05/2014
Allegations:	PERFORMED TWO MUTUAL FUND INTERNAL SWITCHES WITHOUT CONFIRMING WITH CLIENTS, CONTRARY TO FIRM'S DISCRETION RULES AND REQUESTED RMD FROM IRA FOR CLIENT PER SPOUSE'S REQUEST, CONTRARY TO FIRM'S UNAUTHORIZED TRADE RULES.
Product Type:	Mutual Fund



End of Report

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