



IAPD Report

JOHN FRANCIS BROSANAN III

CRD# 2341934

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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

JOHN FRANCIS BROSAN III (CRD# 2341934)

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 **02/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/30/2000
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

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	Wilmington, NC	12/31/2001 - 01/02/2009
B	EDWARD JONES	250	ST. LOUIS, MO	08/30/1993 - 09/12/2000

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	3



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 Representative	Approved	08/30/2000
B	FINRA	General Securities Principal	Approved	12/05/2000
B	FINRA	Municipal Fund	Approved	06/17/2003
B	Alabama	Agent	Approved	01/03/2022
B	California	Agent	Approved	02/19/2008
B	Florida	Agent	Approved	08/30/2000
B	Georgia	Agent	Approved	03/15/2007
B	Maryland	Agent	Approved	09/08/2014
B	Massachusetts	Agent	Approved	06/12/2024
B	Missouri	Agent	Approved	05/16/2006
B	New York	Agent	Approved	02/11/2025
B	North Carolina	Agent	Approved	08/30/2000
B	Ohio	Agent	Approved	08/30/2000



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	08/30/2000
B South Carolina	Agent	Approved	08/30/2000
B Tennessee	Agent	Approved	07/03/2024
B Texas	Agent	Approved	08/08/2011
B Virginia	Agent	Approved	08/30/2000
B Washington	Agent	Approved	10/29/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 1213 Culbreth Drive
 Suite 219
 Wilmington, NC 28405

RAYMOND JAMES FINANCIAL SERVICES
 Wilmington, NC

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 North Carolina	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 1213 Culbreth Drive
 Suite 219
 Wilmington, NC 28405

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 Wilmington, NC





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




Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	06/12/2003
	General Securities Principal Examination (S24)	Series 24	12/04/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	11/03/2003
	General Securities Representative Examination (S7)	Series 7	08/27/1993

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	10/23/2000
	 Uniform Securities Agent State Law Examination (S63)	Series 63	09/03/1993

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	12/31/2001 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	Wilmington, NC
B	08/30/1993 - 09/12/2000	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	CHARLOTTE, NC, United States
08/2007 - Present	JF BROSNAN LLC	OFFICER-CEO	N	Wilmington, NC, United States
02/2007 - Present	John Brosnan & Kim Brosnan proprietors	Owner/Proprietor	N	Wilmington, NC, United States
08/2000 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	BRANCH MANAGER/FINANCIAL ADVISOR	Y	CHARLOTTE, NC, 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: JF Brosnan LLC Address: 1213 Culbreth DR PMB 219, Wilmington, NC, 28405, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO, Officer - President Investment Related: No Start Date: 08/01/2007 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Bussiness entity for independent brokerage arangement

(2)Name of Business: John Brosnan & Kim Brosnan proprietors Address: 6310 Greenville Sound Rd, Wilmington, NC, 28409, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: No Start Date: 02/20/2017 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Renting home to tenants on yearly basis. Buying another home in my neighborhood. I moved homes and I am renting my previous home 3907 Malabar Run. . We now rent out 2009 Cane Island Place.

(3)Name of Business: Townes of Summerwalk HOA Address: In Neighborhood or meeting at Library or elementary school, Wilmington, NC, 28409, United States Activity Type: Non profit Position/Title: Officer - Vice President, Officer - Treasurer, Board Member, Officer - President, Officer - Secretary Investment Related: Yes Start Date: 01/19/2023 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am considering serving on the board of neighborhood HOA. We recently had several members resign. I own two homes in the neighborhood. I am also going to have to fill in on the board for The Cottages at Summerwalk, another HOA within the same neighborhood. I will not sign for anything or have any financial positions on either board seat.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT ALLEGES SUITABILITY
Product Type:	Mutual Fund(s)
Alleged Damages:	\$178,000.00

Customer Complaint Information

Date Complaint Received:	04/24/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/02/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	PLEASE ARCHIVE. COMPLAINT NO LONGER REPORTABLE BECAUSE FILED MORE THAN 24 MONTHS AGO.

Disclosure 2 of 3

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

Allegations: ARBITRATION CASE DESCRIPTION: ALLEGATIONS OF BREACH OF NORTH CAROLINA SECURITIES LAWS, BREACH OF TRUST/FIDICIARY DUTY AND NEGLIGENCE, BREACH OF CONTRACT, CONSTRUCTIVE FRAUD AND NEGLIGENT MISREPRESENTATION IN THE INVESTMENT OF \$536,075.58. (AMOUNT CLAIMED: \$149,937.05 PLUS \$89,391.07 IN LOST OPPORTUNITY, INTEREST, MANAGEMENT AND FUND FEES, ATTORNEYS' FEES AND UNSPECIFIED PUNITIVE DAMAGES)

Product Type: Options

Alleged Damages: \$239,328.12

Customer Complaint Information

Date Complaint Received: 09/22/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/22/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD, CASE NO: 02-04980

Date Notice/Process Served: 09/22/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/11/2003

Monetary Compensation Amount: \$62,500.00

Individual Contribution Amount: \$0.00

Firm Statement ARBITRATION CASE RESOLUTION: SETTLED FOR \$7,500 PAID BY JONES AND \$55,000 PAID BY RAYMOND JAMES

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES & RAYMOND JAMES FINANCIAL SERVICES

Allegations: ARBITRATION CASE DESCRIPTION: ALLEGATIONS OF BREACH OF NORTH CAROLINA SECURITIES LAWS, BREACH OF TRUST/FIDICIARY DUTY AND NEGLIGENCE, BREACH OF CONTRACT, CONSTRUCTIVE FRAUD AND NEGLIGENT MISREPRESENTATION IN THE INVESTMENT OF \$536,075.58. (AMOUNT CLAIMED: \$149,937.05 PLUS \$89,391.07 IN LOST OPPORTUNITY, INTEREST, MANAGEMENT AND FUND FEES, ATTORNEYS' FEES AND UNSPECIFIED PUNITIVE DAMAGES)



Product Type: Options
Alleged Damages: \$239,328.12

Customer Complaint Information

Date Complaint Received: 09/22/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/22/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE# 02-04980
Date Notice/Process Served: 09/22/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/11/2003
Monetary Compensation Amount: \$62,500.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.
Allegations: SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-OTHER

Product Type:
Alleged Damages: \$95,697.18

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-02705
Date Notice/Process Served: 08/05/1997
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/25/1998
Disposition Detail: PENDING
Not Provide



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., L.P.
Allegations:	<p>CLIENT ALLEGED I PROMISED TO KEEP HIS ACCOUNT FROM FALLING BELOW \$150,000. I TOLD HIM THE ONLY WAY I COULD DO THAT WAS TO LIQUIDATE HIS STOCKS AND GO TO CASH. HE WAS HIGHLY MARGINED AND DID NOT WANT TO LIQUIDATE. WHEN THE SMALL CAP MARKET DROPPED IN JULY 1996, HE GOT A MARGIN CALL, PANICKED AND LIQUIDATED HIS ACCOUNT.</p> <p>ALLEGATIONS OF BREACH OF AGREEMENT, NEGLIGENCE, GROSS NEGLIGENCE, MISREPRESENTATION, BREACH OF NORTH CAROLINA SECURITIES REGULATIONS AND UNFAIR TRADE PRACTICES IN THE LOSS OF VALUE IN \$79,000 INVESTED THAT ROSE TO A LEVEL OF \$166,817 THEN DOWN TO \$136,364 TO \$71,120 WHEN IT WAS ULTIMATELY SOLD. (AMOUNT CLAIMED: \$95,697.18, TREBLE DAMAGES, UNSPECIFIED PUNITIVE DAMAGES, EMOTIONAL DISTRESS, INTEREST, COSTS AND ATTORNEYS' FEES).</p>
Product Type:	Equity - OTC
Other Product Type(s):	STOCKS / EQUITY MUTUAL FUNDS
Alleged Damages:	\$100,000.00
Customer Complaint Information	
Date Complaint Received:	08/05/1997
Complaint Pending?	No
Status:	Settled
Status Date:	03/18/1998
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 97-02705
Date Notice/Process Served:	08/05/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/18/1998
Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$25,000. THE INVESTMENT REPRESENTATIVE, JOHN BROSAN, STATED: (1) THE CLIENT INSISTED ON BEING FULLY MARGINED AND WAS ONLY INTERESTED IN VERY AGGRESSIVE STOCKS, (2) THE



CLIENT UNDERSTOOD I COULD NOT HAVE DISCRETIONARY TRADING AUTHORITY, (3) AFTER RECEIVING A SMALL MARGIN CALL FOR APPROXIMATELY \$8,000 [CUSTOMER] INSISTED ON LIQUIDATING THE ENTIRE ACCOUNT. I EXPLAINED TO HIM THE IMPORTANCE OF HOLDING ON TO HIS INVESTMENTS AND NOT SELLING DURING A DOWN TURN IN TECHNOLOGIES. HE WOULD NOT LISTEN. HE MADE OVER \$3,000 PROFIT FROM HIS ORIGINAL INVESTMENT AFTER HIS PERIODIC WITHDRAWALS. THIS MATTER WAS SETTLED BY THE FIRM WITHOUT IR KNOWLEDGE OR CONSENT.



End of Report

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