



IAPD Report

MICHAEL DENNIS ALLEN

CRD# 2389457

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

MICHAEL DENNIS ALLEN (CRD# 2389457)

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 **07/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CARILLON FUND DISTRIBUTORS, INC.	CRD# 139749	12/19/2018
IA	RAYMOND JAMES INVESTMENT MANAGEMENT	CRD# 174904	01/09/2019
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/14/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/21/2022

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **1** 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	INVEST FINANCIAL CORPORATION	12984	TAMPA, FL	01/23/2015 - 02/20/2018
IA	INVEST FINANCIAL CORPORATION	12984	TAMPA, FL	01/20/2015 - 02/20/2018
IA	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	SARASOTA, FL	02/04/2011 - 10/17/2013

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
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Report Summary

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 1 jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 3

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 Principal	Approved	02/14/2022
	FINRA	General Securities Representative	Approved	02/14/2022
	FINRA	General Securities Sales Supervisor	Approved	02/14/2022
	FINRA	Municipal Securities Principal	Approved	02/14/2022
	FINRA	Municipal Securities Representative	Approved	02/14/2022
	FINRA	Operations Professional	Approved	02/14/2022
	FINRA	Registered Options Principal	Approved	02/14/2022
	Investors' Exchange LLC	General Securities Principal	Approved	07/08/2025
	Investors' Exchange LLC	General Securities Representative	Approved	07/08/2025
	MEMX LLC	General Securities Principal	Approved	07/08/2025
	MEMX LLC	General Securities Representative	Approved	07/08/2025
	MEMX LLC	General Securities Sales Supervisor	Approved	07/08/2025
	MEMX LLC	Registered Options Principal	Approved	07/08/2025



Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Principal	Approved	02/14/2022
B	NYSE American LLC	General Securities Representative	Approved	02/14/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	02/14/2022
B	NYSE American LLC	Municipal Securities Principal	Approved	02/14/2022
B	NYSE American LLC	Municipal Securities Representative	Approved	02/14/2022
B	NYSE American LLC	Registered Options Principal	Approved	02/14/2022
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/08/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/08/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/08/2025
B	NYSE Arca, Inc.	Registered Options Principal	Approved	07/08/2025
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/08/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/08/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/08/2025
B	Nasdaq PHLX LLC	General Securities Principal	Approved	02/14/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/14/2022
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	02/14/2022
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	02/14/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	02/14/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	02/14/2022



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/14/2022
B	Nasdaq Stock Market	Registered Options Principal	Approved	02/14/2022
B	New York Stock Exchange	General Securities Principal	Approved	02/14/2022
B	New York Stock Exchange	General Securities Representative	Approved	02/14/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	02/14/2022
B	New York Stock Exchange	Municipal Securities Principal	Approved	02/14/2022
B	New York Stock Exchange	Municipal Securities Representative	Approved	02/14/2022
B	Florida	Agent	Approved	02/21/2022
IA	Florida	Investment Adviser Representative	Approved	02/21/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.

880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Employment 2 of 3

Firm Name: **RAYMOND JAMES INVESTMENT MANAGEMENT**

Main Address: 780 CARILLON PARKWAY
ST PETERSBURG, FL 33716

Firm ID#: 174904

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	01/09/2019

Branch Office Locations

RAYMOND JAMES INVESTMENT MANAGEMENT

880 Carillon Parkway
St. Petersburg, FL 33716

Employment 3 of 3



Qualifications

Firm Name: **CARILLON FUND DISTRIBUTORS, INC.**

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

Firm ID#: 139749

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/19/2018
B	FINRA	General Securities Representative	Approved	12/19/2018
B	FINRA	General Securities Sales Supervisor	Approved	12/19/2018
B	FINRA	Municipal Securities Principal	Approved	12/19/2018
B	FINRA	Municipal Securities Representative	Approved	12/19/2018
B	FINRA	Operations Professional	Approved	12/19/2018
B	FINRA	Registered Options Principal	Approved	12/19/2018
B	Florida	Agent	Approved	12/19/2018

Branch Office Locations

880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Parrish, FL









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 6 principal/supervisory exams, 4 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	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	08/19/2013
	General Securities Principal Examination (S24)	Series 24	05/22/2000
	Registered Options Principal Examination (S4)	Series 4	12/02/1997
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/22/1996

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	02/20/2018
	General Securities Representative Examination (S7)	Series 7	11/09/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/03/2010



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1993

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
B	01/23/2015 - 02/20/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
IA	01/20/2015 - 02/20/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
IA	02/04/2011 - 10/17/2013	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	SARASOTA, FL
B	04/05/2010 - 10/17/2013	G.F. INVESTMENT SERVICES, LLC	CRD# 132939	SARASOTA, FL
B	07/01/2005 - 07/01/2008	WORKMAN SECURITIES CORPORATION	CRD# 31898	SARASOTA, FL
B	04/24/2003 - 01/30/2004	SOVEREIGN SECURITIES CORPORATION, LLC	CRD# 112638	PHILADELPHIA, PA
B	10/13/2000 - 05/09/2001	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	07/08/1996 - 11/01/2000	MORGAN STANLEY DEAN WITTER ONLINE INC.	CRD# 34925	SAN FRANCISCO, CA
B	12/17/1993 - 06/25/1996	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

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
01/2022 - Present	Raymond James & Associates, Inc.	Registered Representative	Y	St. Petersburg, FL, United States
12/2018 - Present	Carillon Fund Distributors	Registered Associate	Y	St Petersburg, FL, United States
12/2018 - Present	Carillon Tower Advisers, Inc.	Compliance Advisor	Y	St. Petersburg, FL, United States
11/2012 - 12/2020	MDA VENTURES INC	PRESIDENT	N	SARASOTA, FL, United States
12/2014 - 02/2018	INVEST FINANCIAL CORP	COMPLIANCE - BRANCH EXAMINER	Y	CITRUS PARK, FL, United States



Registration & Employment History



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.

No information reported.



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	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WORKMAN SECURITIES CORPORATION
Allegations:	ALLEGATIONS, AS STATED IN THE COMPLAINT, INCLUDE AN UNSUITABLE INVESTMENT IN A PRIVATE PLACEMENT BASED ON THE CLIENTS INVESTMENT OBJECTIVES. THE INVESTMENT WAS PURCHASED IN EARLY 2007.
Product Type:	Direct Investment-DPP & LP Interests Promissory Note
Alleged Damages:	\$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	CASE # 11-02266
Filing date of arbitration/CFTC reparation or civil litigation:	06/02/2011

Customer Complaint Information

Date Complaint Received:	06/21/2011
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Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WORKMAN SECURITIES CORPORATION

Allegations: ALLEGATIONS: AS STATED IN THE COMPLAINT, CLIENT ALLEGES UNSUITABLE INVESTMENT IN A PRIVATE PLACEMENT BASED ON THE CLIENTS INVESTMENT OBJECTIVES. HOWEVER THE CLIENT WAS GIVEN THREE DIFFERENT HOME OFFICE APPROVED INVESTMENT CHOICES AND ULTIMATELY CHOSE THE INVESTMENT IN QUESTION. THE INVESTMENT WAS PURCHASED IN EARLY 2007.

Product Type: Direct Investment-DPP & LP Interests
Promissory Note

Alleged Damages: \$400,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION

Docket/Case #: CASE # 11-02266

Filing date of arbitration/CFTC reparation or civil litigation: 06/02/2011

Customer Complaint Information

Date Complaint Received: 06/21/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/03/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement REP WAS BROKER OF RECORD AT THE TIME. COMPLAINT WAS ONLY FILED AGAINST THE FIRM AND THE REP WAS NEVER MENTIONED. FIRM IS NOW OUT OF BUSINESS.



End of Report

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