



IAPD Report

PETER JOHN KELLY

CRD# 2419794

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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

PETER JOHN KELLY (CRD# 2419794)

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 **12/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/22/2009
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/21/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	AMERIPRISE ADVISOR SERVICES, INC.	5979	FORT MYERS, FL	06/27/2003 - 06/02/2009
B	AMERIPRISE ADVISOR SERVICES, INC.	5979	FORT MYERS, FL	01/26/1994 - 06/02/2009
IA	RSM MCGLADREY, INC.	111221	CAPE CORAL , FL	10/18/2002 - 06/25/2003

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 **24** 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
	FINRA	General Securities Representative	Approved	05/22/2009
	FINRA	General Securities Sales Supervisor	Approved	05/22/2009
	Alabama	Agent	Approved	07/27/2009
	California	Agent	Approved	05/22/2009
	Colorado	Agent	Approved	01/05/2018
	Florida	Agent	Approved	07/16/2009
	Georgia	Agent	Approved	01/21/2025
	Illinois	Agent	Approved	10/21/2015
	Indiana	Agent	Approved	01/06/2010
	Iowa	Agent	Approved	07/02/2024
	Kentucky	Agent	Approved	07/03/2025
	Massachusetts	Agent	Approved	06/02/2009
	Michigan	Agent	Approved	07/16/2009



Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	12/19/2025
B	Missouri	Agent	Approved	02/09/2016
B	Montana	Agent	Approved	09/27/2017
B	New Hampshire	Agent	Approved	01/23/2025
B	New York	Agent	Approved	07/27/2009
B	North Carolina	Agent	Approved	04/03/2014
B	Ohio	Agent	Approved	08/12/2009
B	Pennsylvania	Agent	Approved	09/04/2012
B	South Carolina	Agent	Approved	03/21/2018
B	Tennessee	Agent	Approved	03/03/2021
B	Texas	Agent	Approved	08/11/2020
B	Virginia	Agent	Approved	08/06/2009
B	Wisconsin	Agent	Approved	05/30/2012

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

1113 SE 47TH TER
SUITE 3
CAPE CORAL, FL 33904

Employment 2 of 2

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



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/21/2009
IA Texas	Investment Adviser Representative	Restricted Approval	08/13/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1113 SE 47TH TERRACE
SUITE 3
CAPE CORAL, FL 33904



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, 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	01/06/2000
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/27/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/25/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/19/2000
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/1994

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	06/27/2003 - 06/02/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	FORT MYERS, FL
B	01/26/1994 - 06/02/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	FORT MYERS, FL
IA	10/18/2002 - 06/25/2003	RSM MCGLADREY, INC.	CRD# 111221	CAPE CORAL , FL

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
08/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	BRANCH MANAGER	Y	CAPE CORAL, FL, United States
05/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FIANANCIAL ADVISOR	Y	CAPE CORAL, FL, United States
05/2009 - Present	ROUSE KELLY FINANCIAL GROUP	Other	N	CAPE CORAL, 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: Rouse Kelly Financial Group Address: 1113 SE 47th Ter Ste 3, Cape Coral, FL, 33904, United States
Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 05/22/2009 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Partner in LLC



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:	STATE OF FLORIDA - DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/25/2007
Docket/Case Number:	768400
Employing firm when activity occurred which led to the regulatory action:	H&R BLOCK FINANCIAL ADVISORS, INC.
Product Type:	No Product
Allegations:	ALLEGED THAT HAD NOT COMPLIED WITH CONTINUING EDUCATION REQUIREMENTS PURSUANT TO FLORIDA STATUTE SECTION 626.2815 AND RULE 69B-228.220 FOR THE COMPLIANCE PERIOD ENDING JULY 31, 2007.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	10/25/2007
Sanctions Ordered:	Other: COMPLY WITH FLORIDA STATUTE SECTION 626.2815 AND RULE 69B-



Broker Statement

228.220 FOR THE SUBJECT COMPLIANCE PERIOD BY EARNING
NECESSARY HOURS TO FULFILL SUBJECT REQUIREMENTS.
CONTINUING EDUCATION REQUIREMENTS SATISFIED.



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:	OLDE DISCOUNT STOCKBROKERS
Allegations:	ALLEGED MISREPRESENTATION AND FAILURE TO INFORM REGARDING PURCHASE OF SHIVA. ALLEGED APPROXIMATELY \$20,000.00 LOSS. THE EVENT OCCURRED WHILE EMPLOYED AT OLDE DISCOUNT CORPORATION.
Product Type:	Penny Stock
Alleged Damages:	\$20,000.00
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:	10/08/1998
Complaint Pending?	No
Status:	Settled
Status Date:	12/08/1998
Settlement Amount:	\$42,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	OLDE DECIDED TO SETTLE THIS MATTER FOR \$42,000.00 IN ORDER TO AVOID THE COSTS AND RISKS OF LITIGATION. IT IS NOT TO BE CONSTRUED AS AN ADMISSION OF ANY WRONGDOING BY OLDE OR MR. KELLY. MR. KELLY DID NOT PARTICIPATE IN THE DECISION TO SETTLE THIS MATTER. HE DID NOT MAKE, NOR WAS HE ASKED TO MAKE A CONTRIBUTION TO THE SETTLEMENT. [CUSTOMER] IS AN AGGRESSIVE, SPECULATIVE INVESTOR WHO TRADES LARGE STOCK POSITIONS. HE WAS FULLY AWARE OF THE RISKS ASSOCIATED WITH HIS TRADING STRATEGY. [CUSTOMER] WAS PROVIDED WITH RESEARCH REPORTS AND NEWS RELEASES I ADAMANTLY DENY THAT ANY MISREPRESENTATIONS WERE MADE AND ANY WRONGDOING OCCURRED.



End of Report

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