



## IAPD Report

# FREDRICK EUGENE DONOVAN JR

CRD# 2421180

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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

### FREDRICK EUGENE DONOVAN JR (CRD# 2421180)

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 **05/14/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/07/2015
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/19/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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>IA</b>	EDWARD JONES	250	VANCOUVER, WA	03/30/2007 - 04/30/2015
<b>B</b>	EDWARD JONES	250	VANCOUVER, WA	10/20/1997 - 04/30/2015
<b>B</b>	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA	05/20/1994 - 10/23/1997

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	1
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 **29** 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>B</b>	FINRA	General Securities Representative	Approved	05/07/2015
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	05/17/2016
<b>B</b>	Alabama	Agent	Approved	08/29/2018
<b>B</b>	Arizona	Agent	Approved	07/07/2015
<b>B</b>	Arkansas	Agent	Approved	01/05/2023
<b>B</b>	California	Agent	Approved	05/21/2015
<b>B</b>	Colorado	Agent	Approved	12/18/2024
<b>B</b>	Florida	Agent	Approved	07/20/2015
<b>B</b>	Georgia	Agent	Approved	03/30/2021
<b>B</b>	Hawaii	Agent	Approved	01/10/2025
<b>B</b>	Idaho	Agent	Approved	05/07/2015
<b>B</b>	Illinois	Agent	Approved	06/22/2015
<b>B</b>	Indiana	Agent	Approved	05/22/2015



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Iowa	Agent	Approved	09/24/2018
<b>B</b> Minnesota	Agent	Approved	05/14/2026
<b>B</b> Missouri	Agent	Approved	01/16/2025
<b>B</b> Montana	Agent	Approved	02/08/2022
<b>B</b> New Mexico	Agent	Approved	05/22/2015
<b>B</b> New York	Agent	Approved	05/22/2015
<b>B</b> North Carolina	Agent	Approved	02/04/2022
<b>B</b> North Dakota	Agent	Approved	03/28/2022
<b>B</b> Oklahoma	Agent	Approved	09/11/2023
<b>B</b> Oregon	Agent	Approved	07/21/2015
<b>B</b> Pennsylvania	Agent	Approved	11/07/2024
<b>B</b> South Dakota	Agent	Approved	07/12/2022
<b>B</b> Texas	Agent	Approved	09/10/2015
<b>B</b> Utah	Agent	Approved	09/10/2020
<b>B</b> Virginia	Agent	Approved	08/05/2015
<b>B</b> Washington	Agent	Approved	05/07/2015
<b>B</b> West Virginia	Agent	Approved	06/24/2021
<b>B</b> Wyoming	Agent	Approved	10/02/2023

### Branch Office Locations



## Qualifications

### RAYMOND JAMES FINANCIAL SERVICES

9120 NE Vancouver Mall Loop  
Suite 200  
Vancouver, WA 98662

### 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 Texas	Investment Adviser Representative	Restricted Approval	08/11/2016
IA Washington	Investment Adviser Representative	Approved	08/19/2015

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
9120 NE VANCOUVER MALL LP  
SUITE 200  
VANCOUVER, WA 98662





## 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 3 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/17/2016
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/20/2016

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/28/1994

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/23/2007
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/1993

### 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	03/30/2007 - 04/30/2015	EDWARD JONES	CRD# 250	VANCOUVER, WA
B	10/20/1997 - 04/30/2015	EDWARD JONES	CRD# 250	VANCOUVER, WA
B	05/20/1994 - 10/23/1997	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	02/01/1994 - 05/24/1994	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/01/1994 - 05/24/1994	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
08/2015 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	VANCOUVER, WA, United States
05/2015 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	VANCOUVER, WA, 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: Navigate Wealth Strategies Address: 9120 Ne Vancouver Mall Loop Ste 200, Vancouver, WA, 98662, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 07/01/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Support Company/DBA(Owner)



## 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
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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	110 SHARES OF WCOM WERE PURCHASED ON 12/1/99 ADDING TO THE EXISTING POSITION. THE CLIENT STATES THE TRADE WAS EFFECTED WITHOUT HIS KNOWLEDGE AND REQUEST CANCELLATION OF THE TRADE. THE STOCK WAS DOWN IN EXCESS OF \$5,000.
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$5,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/13/2001
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	06/20/2001

#### Settlement Amount:

#### Individual Contribution Amount:

**Broker Statement** DONOVAN STATED THE CLIENT INSTRUCTED HIM TO MAKE THE PURCHASE. DONOVAN ALSO STATED



THAT ON OR AROUND DECEMBER 6, 1999 HE OFFERED TO RESCIND THE TRADE BECAUSE THE CLIENT EXPRESSED SOME CONFUSION ABOUT THE PURCHASE AT WHICH TIME THE CLIENT DECLINED THE RECISSION OFFER AND AGREED TO HOLD THE INVESTMENT. THE CLIENT RECEIVED MONTHLY CUSTOMER STATEMENTS REFLECTING THE VALUE OF THE STOCK POSITON AND PHONE RECORDS REVEALED THERE HAD BEEN MULTIPLE CONVERSATIONS SUBSEQUENT TO THE WCOM PURCHASED. CLAIM 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:** Firm

**Firm Name:** EDWARD JONES

**Termination Type:** Discharged

**Termination Date:** 03/31/2015

**Allegations:** VIOLATED FIRM POLICIES REGARDING DISCRETIONARY AND EXCESSIVE TRADING.

**Product Type:** No Product

**Reporting Source:** Individual

**Firm Name:** EDWARD JONES

**Termination Type:** Discharged

**Termination Date:** 03/31/2015

**Allegations:** VIOLATED FIRM POLICY REGARDING DISCRETIONARY AND EXCESSIVE TRADING.

**Product Type:** No Product

**Broker Statement**

FOR MORE THAN 17 YEARS, I FAITHFULLY SERVED MY CUSTOMERS AT EDWARD JONES AS A REGISTERED REPRESENTATIVE. I AM GRATEFUL FOR THE OPPORTUNITY TO HAVE DONE SO AND PROUD OF THE QUALITY OF SERVICE I PROVIDED. AS A RESULT, I WAS DISAPPOINTED THAT EDWARD JONES DECIDED TO DISCONTINUE OUR RELATIONSHIP - DESPITE THE FACT THAT IT WAS AWARE OF AND APPROVED THE APPROACH I USED TO ACHIEVE EXCELLENT RESULTS FOR MY CUSTOMERS.

OVER THE YEARS, MY CUSTOMERS BENEFITTED FROM MY KNOWLEDGE OF STOCKS AND OTHER SECURITIES KNOWN AS EQUITIES. DEPENDING ON A CUSTOMER'S PROFILE, NEEDS, AND RISK TOLERANCES, I OFTEN RECOMMENDED INVESTMENT IN EQUITIES DURING MY TIME AT EDWARD JONES. THESE RECOMMENDATIONS WERE ALWAYS MADE IN ORDER TO ADVANCE MY CUSTOMERS' FINANCIAL POSITION, AND I AM ABSOLUTELY CONFIDENT THAT THE APPROACH I USED WAS CONSISTENT WITH MY PROFESSIONAL OBLIGATIONS.

I RESPECTFULLY DENY THAT I EVER ENGAGED IN "EXCESSIVE TRADING" ON BEHALF OF ANY EDWARD JONES CUSTOMERS. INDEED, I WORKED VERY HARD - AND LONG HOURS - TO PROTECT MY CUSTOMERS FROM EXCESSIVE EXPOSURE TO TRADING FEES AND COMMISSIONS. I REGULARLY GAVE MY CUSTOMERS LARGE DISCOUNTS ON SUCH FEES AND COMMISSIONS, WHICH REQUIRED ME TO PAY SIGNIFICANT ATTENTION TO THEIR ACCOUNTS AND TOTAL RETURNS. ESSENTIALLY, BECAUSE I BELIEVE IN THE VALUE OF INVESTING



APPROPRIATELY IN EQUITIES, I PERSONALLY SACRIFICED COMMISSIONS I WOULD HAVE OTHERWISE RECEIVED IN ORDER TO KEEP MY CUSTOMERS' COSTS DOWN. IN THE CASE OF USING DISCRETION, IN CERTAIN CASES, I IMPLEMENTED STOP/LOSS AND BUY/LIMIT ORDERS ON BEHALF OF CUSTOMERS, MEANING THEIR HOLDINGS IN A PARTICULAR EQUITY WOULD BE AUTOMATICALLY SOLD IF THE EQUITY FELL TO A CERTAIN PRICE. I WOULD ALSO, FROM TIME TO TIME, ADJUST THIS PRICE THRESHOLD TO ACCOUNT FOR INCREASES IN THE VALUE OF THE EQUITY. I NOTIFIED MY CUSTOMERS ABOUT SUCH ADJUSTMENTS, AND NOT ONE OF THEM EVER COMPLAINED. EDWARD JONES NEVER CRITICIZED ME FOR IT UNTIL THE END OF 2014 - AT WHICH TIME I PROMPTLY COMPLIED WITH THE FIRM'S INSTRUCTIONS. LIKE ALL EDWARD JONES REGISTERED REPRESENTATIVES, I WAS CLOSELY SCRUTINIZED AND AUDITED REGULARLY. UNTIL THE END OF 2014, THE COMPLIANCE DIVISION OF EDWARD JONES NEVER QUESTIONED MY APPROACH TO EQUITIES TRADING, DISCOUNTING, STOP/LOSS, AND BUY/LIMIT ORDERS. WHEN IT ULTIMATELY INSTRUCTED ME TO MAKE ADJUSTMENTS, I DID SO. IN TERMINATING MY EMPLOYMENT, I RESPECTFULLY BELIEVE EDWARD JONES SOUGHT TO MAKE AN EXAMPLE OF SOMEONE WHO TOOK A MORE INVOCATIVE APPROACH THAN SOME OF ITS OTHER REGISTERED REPRESENTATIVES. THIS IS UNFORTUNATE, BECAUSE I DID NOTHING WRONG. TO THE CONTRARY, I WAS A DEVOTED EMPLOYEE COMMITTED TO EXCELLENCE AND INTEGRITY. MY CUSTOMERS CONSISTENTLY EXPRESSED THEIR APPRECIATION FOR MY SERVICES, AND MANY OF THEM HAVE CHOSEN TO CONTINUE TO WORK WITH ME AT MY NEW EMPLOYER WITH RAYMOND JAMES.



## End of Report

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