IAPD Report

Brian Paul Gibson

CRD# 2460629

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

Brian Paul Gibson (CRD# 2460629)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	10/20/2014
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	10/21/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	EDWARD JONES	250	WEST UNION, IA	01/18/2007 - 10/14/2014
B	EDWARD JONES	250	WEST UNION, IA	12/14/1998 - 10/14/2014
B	FRANKLIN FINANCIAL SERVICES CORPORATION	5435	HOUSTON, TX	03/03/1994 - 09/29/1998

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

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 **25** 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	10/20/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	10/20/2014
B	FINRA	General Securities Principal	Approved	02/09/2015
B	FINRA	General Securities Sales Supervisor	Approved	01/09/2019
B	Alabama	Agent	Approved	06/06/2025
B	Arizona	Agent	Approved	11/15/2016
B	Arkansas	Agent	Approved	01/17/2024
B	California	Agent	Approved	10/20/2014
B	Colorado	Agent	Approved	05/18/2026
B	Florida	Agent	Approved	06/16/2021
B	Illinois	Agent	Approved	01/27/2023
B	Indiana	Agent	Approved	10/20/2014
B	Iowa	Agent	Approved	10/20/2014

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	10/20/2014
B	Maryland	Agent	Approved	07/05/2024
B	Massachusetts	Agent	Approved	09/29/2020
B	Michigan	Agent	Approved	10/20/2014
B	Minnesota	Agent	Approved	10/20/2014
B	Montana	Agent	Approved	10/20/2014
B	Nebraska	Agent	Approved	10/20/2014
B	North Carolina	Agent	Approved	09/15/2021
B	North Dakota	Agent	Approved	08/07/2020
B	Ohio	Agent	Approved	10/20/2014
B	Oregon	Agent	Approved	06/01/2021
B	South Dakota	Agent	Approved	10/20/2014
B	Tennessee	Agent	Approved	10/20/2014
B	Texas	Agent	Approved	10/20/2014
B	Utah	Agent	Approved	04/03/2024
B	Wisconsin	Agent	Approved	10/20/2014

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
105 E MAIN STREET
SUITE 1
WEST UNION, IA 52175

Qualifications

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	Iowa	Investment Adviser Representative	Approved	10/21/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	09/08/2016

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
105 E MAIN STREET
SUITE 1
WEST UNION, IA 52175

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/09/2019
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/22/2018
B	General Securities Principal Examination (S24)	Series 24	02/09/2015

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/30/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/02/1994

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/27/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1994

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	01/18/2007 - 10/14/2014	EDWARD JONES	CRD# 250	WEST UNION, IA
B	12/14/1998 - 10/14/2014	EDWARD JONES	CRD# 250	WEST UNION, IA
B	03/03/1994 - 09/29/1998	FRANKLIN FINANCIAL SERVICES CORPORATION	CRD# 5435	HOUSTON, 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
10/2014 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser Rep	Y	WEST UNION, IA, United States
10/2014 - Present	Raymond James Financial Services Inc	Financial Advisor	N	WEST UNION, IA, 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: Address: Elgin, IA, 52141, United States Activity Type: Agriculture/Farming Position/Title: Owner/Proprietor Investment Related: No Start Date: 03/01/2022 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: mange the farm that I own hire someone to farm it for me plant and harvest corn and soybeans maybe some hay on 120 arces
(2) Name of Business: Address: 105 E Main St Ste 1, West Union, IA, 52175-1254, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 07/13/2020 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
(3) Name of Business: Brian Gibson financial services LLC Address: 105 E Main St Ste 1, West Union, IA, 52175, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 10/24/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: branch manger
(4) Name of Business: farm Address: Elgin, IA, 52141, United States Activity Type: Agriculture/Farming Position/Title: Owner/Proprietor Investment Related: No Start Date: 05/01/2015 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 bought steers8 for $4400 to keep my pasture down i might make $ i might not
(5) Name of Business: honey bees Address: Elgin, IA, 52141, United States Activity Type: Agriculture/Farming Position/Title: Owner/Proprietor Investment Related: No Start Date: 08/21/2015 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 have 3 bee hives and i will be growing it to 4 and 5 i have excess honey that i will be selling to clients and wholesale

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: Individual

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

Allegations: CLIENT STATES THEY BEGAN INVESTING WITH IR IN 1999. THEY STATE THEY WANTED TO BUY CDS; HOWEVER, IR RECOMMENDED BONDS, MUTUAL FUNDS AND STOCKS. CLIENT ALSO ALLEGES IR KEPT SELLING CLIENT CALLABLE BONDS SO CLIENT WOULD HAVE NO CHOICE OTHER THAN TO REINVEST THE CALL PROCEEDS BACK INTO BONDS. CLIENT FURTHER ALLEGES THAT IR DID NOT DISCLOSE THE BONDS WERE CALLABLE. CLIENT ALSO CLAIMS IR TOLD HIM TO BUY WORLDCOM BASED ON A "HOT TIP." LOSSES EXCEED $5,000.

Product Type: Other

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 03/31/2003

Complaint Pending? No

Status: Denied

Status Date: 06/30/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED HE SOLICITED THE INITIAL BUY OF WCOM BASED UPON THE

OPINION PUBLISHED BY THE FIRM. EDWARD JONES OPINIONS ARE BASED ON INFORMATION AVAILABLE AT THE TIME THE OPINION IS PUBLISHED. WHILE WE BELIEVE THE INFORMATION ON WHICH THE OPINION IS BASED IS RELIABLE, IT IS NOT GUARANTEED. IR FURTHER INDICATED HE NEVER MADE THE "HOT TIP" COMMENT TO THE CLIENT AS A FORM OF SOLICITATION. IR STATED HE CALLED THE CLIENT AS THE FIRM'S OPINION ON WCOM CHANGED. ACCORDING TO IR, HE STATED HE DISCUSSED WITH THE CLIENT IN DETAIL THE BOND PURCHASES. AT THE TIME OF PURCHASES, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS AS WELL AS STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. IT IS OUR OPINION ALL TRANSACTIONS EFFECTED IN THE ACCOUNT WERE AUTHORIZED. IN ADDITION, IT APPEARS ALL INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT WERE WITHIN THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.

End of Report

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