



IAPD Report

ROGER LEE FLUECKIGER JR.

CRD# 2487446

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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

ROGER LEE FLUECKIGER JR. (CRD# 2487446)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	11/16/2020
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	11/17/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	THURSTON SPRINGER ADVISORS	299201	INDIANAPOLIS, IN	08/25/2020 - 11/16/2020
IA	THURSTON SPRINGER FINANCIAL	8478	GENEVA, IN	02/26/2014 - 11/16/2020
B	THURSTON SPRINGER FINANCIAL	8478	GENEVA, IN	02/21/2014 - 11/16/2020

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 **20** 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 Principal	Approved	11/17/2020
B	FINRA	General Securities Representative	Approved	11/17/2020
B	Alabama	Agent	Approved	07/19/2024
B	Colorado	Agent	Approved	11/18/2020
B	Connecticut	Agent	Approved	11/17/2020
B	Florida	Agent	Approved	11/17/2020
B	Georgia	Agent	Approved	11/18/2020
B	Illinois	Agent	Approved	09/02/2025
B	Indiana	Agent	Approved	11/17/2020
B	Kentucky	Agent	Approved	03/17/2022
B	Michigan	Agent	Approved	11/17/2020
B	Missouri	Agent	Approved	12/23/2020
B	Nevada	Agent	Approved	11/17/2020



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	11/17/2020
B Ohio	Agent	Approved	11/17/2020
B Oklahoma	Agent	Approved	02/03/2026
B South Carolina	Agent	Approved	11/17/2020
B Tennessee	Agent	Approved	02/22/2023
B Texas	Agent	Approved	11/17/2020
B Utah	Agent	Approved	10/06/2025
B Virginia	Agent	Approved	11/23/2020
B Wisconsin	Agent	Approved	11/17/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 408 E Line Street
 Geneva, IN 46740

RAYMOND JAMES FINANCIAL SERVICES
 FARMERS AND MERCHANTS STATE BANK - ANGOLA
 FM INVESTMENT SERVICES, 2310 N. WAYNE ST., STE. A
 ANGOLA, IN 46703

RAYMOND JAMES FINANCIAL SERVICES
 200 S Broadway St
 BUTLER, IN 46721

RAYMOND JAMES FINANCIAL SERVICES
 12106 Lima Rd.
 Fort Wayne, IN 46818

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 Indiana	Investment Adviser Representative	Approved	11/16/2020

Branch Office Locations



Qualifications

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
408 E Line St
Geneva, IN 46740



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/03/1997

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/18/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	08/06/2009
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/17/1994

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	08/25/2020 - 11/16/2020	THURSTON SPRINGER ADVISORS	CRD# 299201	INDIANAPOLIS, IN
IA	02/26/2014 - 11/16/2020	THURSTON SPRINGER FINANCIAL	CRD# 8478	GENEVA, IN
B	02/21/2014 - 11/16/2020	THURSTON SPRINGER FINANCIAL	CRD# 8478	GENEVA, IN
IA	07/25/2013 - 02/21/2014	SSN ADVISORY, INC.	CRD# 126090	GENEVA, IN
B	07/19/2013 - 02/21/2014	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	GENEVA, IN
IA	06/11/2010 - 08/16/2013	INVESTMENT ADVISORS	CRD# 15708	GENEVA, IN
B	06/11/2010 - 08/16/2013	PROEQUITIES, INC.	CRD# 15708	GENEVA, IN
IA	08/07/2009 - 06/16/2010	LPL FINANCIAL CORPORATION	CRD# 6413	GENEVA, IN
B	05/31/1994 - 06/16/2010	LPL FINANCIAL CORPORATION	CRD# 6413	GENEVA, IN

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
11/2020 - Present	FM Investment Services	Independent Contractor	N	Geneva, IN, United States
11/2020 - Present	Farmers and Merchants State Bank	Other	Y	Geneva, IN, United States
11/2020 - Present	Raymond James Financial Services Advisors, Inc.	Registered Representative	Y	Geneva, IN, United States
11/2020 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Geneva, IN, United States
02/2014 - 11/2020	Thurston Springer	Investment Adviser	Y	Indianapolis, IN, 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.

(1)Name of Business: Boys and Girls Club of Adams County Address: 117 E Main St, Berne, IN, 46711, United States Activity Type: Non profit Position/Title: Advisory Board, Finance/Investment Committee Member Investment Related: Yes Start Date: 04/09/2024 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Finance Committee meets monthly to review the financial statements of the club.\n\nAdvisory Board meets monthly to review the over all activity of the club.

(2)Name of Business: FM Investments Address: 408 E Line St, Geneva, IN, 46740, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date: 11/01/2020 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor



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:	LPL FINANCIAL
Allegations:	ALLEGES UNSUITABLE INVESTMENT IN HARTFORD VARIABLE ANNUITY.
Product Type:	Annuity-Variable
Alleged Damages:	\$24,765.00
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
Docket/Case #:	12-02505
Filing date of arbitration/CFTC reparation or civil litigation:	07/31/2012

Customer Complaint Information

Date Complaint Received:	08/20/2012
Complaint Pending?	No
Status:	Settled



Status Date: 10/17/2013

Settlement Amount: \$5,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL

Allegations: CUSTOMER'S SON-IN-LAW ALLEGES THAT THE CUSTOMER WAS SOLD A HARTFORD VARIABLE ANNUITY THAT WAS UNSUITABLE FOR HIS AGE/CIRCUMSTANCE AND THAT HE (THE CUSTOMER) WAS TAKEN ADVANTAGE OF BY THE REPRESENTATIVE.

Product Type: Annuity-Variable

Alleged Damages: \$24,765.00

Alleged Damages Amount Explanation (if amount not exact): AMOUNT AS LISTED ON STATEMENT OF CLAIM RECEIVED FROM LPL FINANCIAL ON 09/04/12.

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

Docket/Case #: 12-02505

Filing date of arbitration/CFTC reparation or civil litigation: 07/31/2012

Customer Complaint Information

Date Complaint Received: 08/30/2012

Complaint Pending? No

Status: Settled

Status Date: 10/17/2013

Settlement Amount: \$5,500.00

Individual Contribution Amount: \$0.00

Broker Statement: HISTORICAL COMMENTS: THIS COMPLAINT ORIGINATED WITH THE STATE OF INDIANA DEPARTMENT OF INSURANCE, WHO SENT THE COMPLAINT TO THE INSURANCE COMPANY, AND THEN WAS FORWARDED TO THE REP'S PRIOR FIRM, WITH WHOM THE RR WAS EMPLOYED AT THE TIME OF SALE. AS SUCH, THE PRIOR FIRM IS PROCESSING THE RESPONSE TO THE INSURANCE COMPANY. THE RR'S RESPONSE WAS TO THE PREVIOUS FIRM. THE PREVIOUS FIRM AND THE RR DENIED ALL ALLEGATIONS. RR BELIEVES THAT VARIABLE ANNUITY WAS A SUITABLE



INVESTMENT FOR THE CUSTOMER.



End of Report

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