



IAPD Report

James William Peavey

CRD# 2490714

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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

James William Peavey (CRD# 2490714)

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 **06/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	03/14/2026
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	04/23/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	UMB FINANCIAL SERVICES, INC.	17073	Kansas City, MO	07/12/2019 - 12/19/2022
IA	RUBINBROWN ADVISORS LLC	116909	KANSAS CITY, MO	08/15/2017 - 11/22/2019
B	WADDELL & REED	866	OVERLAND PARK, KS	11/12/2010 - 06/29/2017

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

Employment 1 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	Missouri	Investment Adviser Representative	Approved	04/23/2026
IA	Texas	Investment Adviser Representative	Approved	06/17/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1 Ward Parkway
Kansas City, MO 64112

Employment 2 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	03/14/2026
B	California	Agent	Approved	05/01/2026
B	Colorado	Agent	Approved	05/01/2026
B	Connecticut	Agent	Approved	05/01/2026
B	Florida	Agent	Approved	05/01/2026



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	05/01/2026
B	Kansas	Agent	Approved	05/01/2026
B	Maryland	Agent	Approved	05/01/2026
B	Missouri	Agent	Approved	03/25/2026
B	New Jersey	Agent	Approved	05/01/2026
B	New York	Agent	Approved	05/01/2026
B	Tennessee	Agent	Approved	05/01/2026
B	Texas	Agent	Approved	05/01/2026
B	Wisconsin	Agent	Approved	05/01/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

1 Ward Parkway
Kansas City, MO 64112



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/22/2010
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/01/2000
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/01/2000

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	03/13/2026
B	Securities Industry Essentials Examination (SIE)	SIE	02/23/2026
B	General Securities Representative Examination (S7)	Series 7	03/07/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/18/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/24/2026
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/28/2000



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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	07/12/2019 - 12/19/2022	UMB FINANCIAL SERVICES, INC.	CRD# 17073	Kansas City, MO
IA	08/15/2017 - 11/22/2019	RUBINBROWN ADVISORS LLC	CRD# 116909	KANSAS CITY, MO
B	11/12/2010 - 06/29/2017	WADDELL & REED	CRD# 866	OVERLAND PARK, KS
IA	11/12/2010 - 06/29/2017	WADDELL & REED	CRD# 866	OVERLAND PARK, KS
IA	04/03/2007 - 12/09/2008	AMERICAN CENTURY ADVISORY SERVICES, INC.	CRD# 121974	KANSAS CITY, MO
B	04/03/2007 - 12/09/2008	AMERICAN CENTURY INVESTMENT SERVICES INC.	CRD# 17437	KANSAS CITY, MO
IA	01/27/2003 - 04/27/2007	CHARLES SCHWAB & CO., INC.	CRD# 5393	OVERLAND PARK, KS
B	04/03/2000 - 04/27/2007	CHARLES SCHWAB & CO., INC.	CRD# 5393	OVERLAND PARK, KS
B	01/05/1996 - 03/09/2000	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	05/31/1994 - 04/04/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
02/2026 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Kansas City, MO, United States
12/2022 - 02/2026	First National Bank of Omaha	Financial Planning	Y	Kansas City, MO, United States
07/2019 - 12/2022	UMB Bank	Financial Planner	Y	Kansas City, MO, United States
07/2019 - 12/2022	UMB Financial Services, Inc.	Investment Advisor Representative	Y	Kansas City, MO, United States
01/2019 - 07/2019	Unemployed	Unemployed	N	Kansas City, MO, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2017 - 03/2019	RUBINBROWN ADVISORS LLC	MANAGER	Y	KANSAS CITY, MO, United States
11/2010 - 06/2017	WADDELL & REED INC	PRODUCT CONSULTANT	Y	OVERLAND PARK, KS, 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: First Investments and Planning Address: 1 Ward Pkwy, Kansas City, MO, 64112-2169, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 04/06/2026 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor

(2)Name of Business: FNBO Address: 1 Ward Pkwy, Kansas City, MO, 64112-2169, United States Activity Type: Bank or Credit Union Associate Position/Title: Associate/Employee Investment Related: Yes Start Date: 10/01/2025 Hours per month devoted to this business: 81+ 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:	EDWARD JONES
Allegations:	THE CUSTOMER SOLD DELL COMPUTER STOCK AND PURCHASED CISCO SYSTEM STOCK WITH THE PROCEEDS IN FEBRUARY OF 2000. THE CUSTOMER IS UPSET THAT HE OWES TAXES ON CAPITAL GAINS HE INCURRED WHEN THE DELL STOCK WAS SOLD AND THAT HE HAS AN UNREALIZED LOSS ON THE CISCO STOCK PURCHASE. THE CUSTOMER CLAIMS MR. PEAHEY ACTED IMPROPERLY BY PRESSURING HIM INTO AUTHORIZING THE TRANSACTIONS. THE CUSTOMER IS REQUESTING THAT THE TRANSACTIONS BE FOUND INVALID AND REVERSED. THE COSTS OF REVERSING THE TRANSACTIONS WOULD BE OVER \$5,000.00.
Product Type:	Equity - OTC
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	05/02/2001
Complaint Pending?	No
Status:	Denied
Status Date:	07/02/2001



Settlement Amount:

Individual Contribution Amount:

Firm Statement

ALTHOUGH WE DID ATTEMPT TO OBTAIN A RESPONSE FROM PEAVEY WE DID NOT RECEIVE A REPLY TO OUR REQUEST. THE TRANSACTIONS DID TAKE PLACE ON 2/9/00 AS CLIENT INDICATED. IT APPEARS PER CLIENT'S LETTER THE CLIENT WAS AWARE OF THE TRANSACTIONS AND AUTHORIZED THE SAME. CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS AT THE TIME OF THE TRANSACTIONS AND A CUSTOMER ACCOUNT STATEMENT REFLECTING THE ACTIVITY. OUR RECORDS DO NOT REFLECT ANY REPORTS OF DISSATISFACTION OR CLAIMS OF BEING PRESSURED INTO THE TRANSACTIONS PRIOR TO CLIENT'S LETTER OF 4/25/01. WE INFORMED CLIENT TAXES ARE A RESULT OF THE LIQUIDATION OF INVESTMENTS WHEN GAINS ARE REALIZED. WE ALSO INFORMED CLIENT WE COULD NOT DISCLOSE INFORMATION REGARDING THE DEPARTURE OF MR. PEAVEY FROM EMPLOYMENT WITH EDWARD JONES AS THIS IS CONFIDENTIAL; RESPECTFULLY DENIED CLIENT'S REQUEST TO "INVALIDATE" THE TRANSACTIONS IN QUESTION.

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Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CUSTOMER SOLD DELL COMPUTER STOCK AND PURCHASED CISCO SYSTEM STOCK WITH THE PROCEEDS IN FEBRUARY OF 2000. THE CUSTOMER IS UPSET THAT HE OWES TAXES AN CAPITAL GAINS HE INCURRED WHEN THE DELL STOCK WAS SOLD AND THAT HE HAS AN UNREALIZED LOSS ON THE CISCO STOCK PURCHASE. THE CUSTOMER COMPLAINS THE MR. PEAVEY ACTED IMPROPERLY BE PRESSURING HIM INTO AUTHORIZING THE TRANSACTIONS. THE CUSTOMER IS REQUESTING THE TRANSACTIONS BE FOUND INVALID AND REVERSED. THE COSTS OF REVERSING THE TRANSACTIONS WOULD BE OVER \$5,000.00.

Product Type:

Equity - OTC

Alleged Damages:

\$5,000.00

Customer Complaint Information

Date Complaint Received:

05/02/2001

Complaint Pending?

No

Status:

Denied

Status Date:

07/02/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER WAS AN AGGRESIVE INVESTOR WHO LIKED TECHNOLOGY



STOCKS. HE HAD A CONCENTRATED POSITION OF 800 SHARES OF DELL COMPUTER THAT I ADVISED HE REDUCE. HE REDUCED THAT POSITION BY SELLING 400 SHARES OF DELL AND PURCHASING 105 SHARES OF CISCO. HE HAD PREVIOUSLY BOUGHT AND SOLD STOCKS THROUGH EDWARD JONES BEFORE AND WAS AWARE THAT THERE WERE TAX CONSEQUENCES WHEN HE TRADED. IN MOST, IF NOT ALL, OF HIS TRANSACTIONS HE TOOK HIS TIME TO DO HIS OWN RESEARCH AND CONSIDER ALL OF HIS TRANSACTIONS. EDWARD JONES MADE NO ATTEMPT TO CONTACT ME AT ANY TIME FOR A RESPONSE TO THIS COMPLAINT. THE ONLY CONTACT I HAD WITH EDWARD JONES IN REGARDS TO THIS MATTER WAS THE COPY OF THE AMENDED FORM U-5 THAT THEY SENT TO MY HOME.



End of Report

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