



IAPD Report

WILLIAM EATON HAYNES III

CRD# 2794830

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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

WILLIAM EATON HAYNES III (CRD# 2794830)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/05/2002
IA	LPL FINANCIAL LLC	CRD# 6413	03/26/2004
IA	HAYNES BARKER INVESTMENT MANAGEMENT, LLC	CRD# 120046	05/18/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	05/19/2000 - 04/25/2002
B	EDWARD JONES	250	ST. LOUIS, MO	10/15/1996 - 06/04/2000

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	2



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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/05/2002
B	Michigan	Agent	Approved	01/13/2026
B	Tennessee	Agent	Approved	04/05/2002
IA	Tennessee	Investment Adviser Representative	Approved	03/26/2004
B	Texas	Agent	Approved	01/11/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/17/2025
B	Virginia	Agent	Approved	09/10/2003

Branch Office Locations

LPL FINANCIAL LLC
50 STONEBRIDGE, #2
JACKSON, TN 38305

Employment 2 of 2

Firm Name: **HAYNES BARKER INVESTMENT MANAGEMENT, LLC**
Main Address: 50 STONEBRIDGE BLVD., STE 2
JACKSON, TN 38305
Firm ID#: 120046



Qualifications

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	05/18/2004

Branch Office Locations

HAYNES BARKER INVESTMENT MANAGEMENT, LLC
233 D OIL WELL ROAD
JACKSON, TN 38305



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	10/14/1996
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/07/2000
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/1996
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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
B	05/19/2000 - 04/25/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	10/15/1996 - 06/04/2000	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
07/2002 - Present	HAYNES BARKER INVESTMENT MANAGEMENT, LLC	IAR	Y	JACKSON, TN, United States
04/2002 - Present	LPL FINANCIAL LLC (FKA LINSICO/PRIVATE LEDGER CORP.)	REGISTERED REPRESENTATIVE	Y	JACKSON, TN, 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) 04/09/2002 - REGISTERED INVESTMENT ADVISOR DBA - HAYNES BARKER INVESTMENT MANAGEMENT, LLC - JACKSON, TN
- (2) 04/14/2003 - REGISTERED INVESTMENT ADVISOR - HAYNES BARKER INVESTMENT MANAGEMENT, LLC - PERFORMING PENSION PLAN CONSULTING SERVICES ON PLAN DESIGN, INVESTMENT POLICY STATEMENTS, PLAN SPONSOR FIDUCIARY RESPONSIBILITIES AND INVESTMENT PERFORMANCE FOR HOURLY OR FLAT FEE - JACKSON, MS
- (3) 09/26/2013 - DBA ONLY - HAYNES BARKER INVESTMENT MANAGEMENT, LLC - JACKSON, TN



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	2

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 2

Reporting Source: Firm

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

Allegations: CLIENT STATES ON MARCH 20, 2000, HAYNES SOLD 660 SHARES OF BLS WITHOUT CONSULTING HER. THE CLIENT ALSO STATED \$22,337 IN CASH WAS TO BE USED FOR INCOME NEEDS AND HAYNES INVESTED MONEY INTO MUTUAL FUNDS IN MARCH 2000 WITHOUT CONSULTING HER. CLIENT WOULD LIKE TO BE MADE WHOLE AGAIN.

Product Type: Other

Alleged Damages: \$35,077.81

Customer Complaint Information

Date Complaint Received: 06/17/2002

Complaint Pending? No

Status: Denied

Status Date: 08/08/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement HAYNES INDICATED HE HAD A LENGTHY DISCUSSION WITH CLIENT ABOUT INVESTMENT OBJECTIVES, INVESTMENT EXPERIENCE AND REVIEWED THE CLIENT'S CURRENT FINANCIAL PICTURE. HAYNES STATED HE DISCUSSED THE IMPORTANCE OF DIVERSIFICATION, RECOMMENDED THE



SALE OF BELL SOUTH STOCK AND THE PURCHASE OF PUTNAM FUNDS AND THE ANNUITY. HAYNES BELIEVED CLIENT HAD A CLEAR UNDERSTANDING OF THE INVESTMENTS DISCUSSED. HAYNES INDICATED CLIENT INSTRUCTED HIM TO SELL THE BELL SOUTH STOCK AND INVEST PROCEEDS IN TO THE PUTNAM FUNDS AND ANNUITY. TRADE CONFIRMATIONS AND CUSTOMER ACCOUNT STATEMENTS REFLECTED ACCOUNT INFORMATION AND CLIENT RECEIVED APPROPRIATE PROSPECTUSES. CLAIM DENIED.

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES SECURITIES SOLD WITHOUT AUTHORIZATION IN MARCH 2000 AND UNSUITABLE INVESTMENTS. DAMAGES UNSPECIFIED, BUT BELIEVED TO BE GREATER THAN \$5000.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE ANNUITY

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/08/2002

Complaint Pending? No

Status: Denied

Status Date: 07/27/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: THE CLIENT STATES SHE INITIALLY DISCUSSED WITH HAYNES THAT SHE DID NOT WANT TO RISK LOSING ANY MONEY AND WANTED TO INVEST IN A LOW RISK MUTUAL FUND. THE CLIENT STATES HAYNES INFORMED HER HE WOULD DIVERSIFY HER MONEY. THE CLIENT PURCHASED \$14,000 OF IHSVQ IN MARCH AND APRIL 1999 AND SOLD IT FOR A \$2,000 GAIN IN JUNE 1999. IN JULY 1999 THE CLIENT PURCHASED \$18,000 OF IHSVQ. THE CLIENT IS UNHAPPY WITH THE PERFORMANCE OF THE STOCK AND QUESTIONS HAYNES REPEATED RECOMMENDATION TO NOT LIQUIDATE HER POSITION AS IT CONTINUED TO DECLINE.

Product Type: Equity - OTC



Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/16/2001

Complaint Pending? No

Status: Denied

Status Date: 05/15/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement

CUSTOMER'S ACCOUNT WITH OUR FIRM WAS OPENED IN SEPTEMBER 1998. SHORTLY AFTER THE ACCOUNT WAS OPENED STOCK TRADES WERE ENTERED IN THE ACCOUNT AND THE CUSTOMER WOULD HAVE RECEIVED CONFIRMATIONS FOR THOSE TRADES AND INFORMATION CONCERNING THE TRADES WAS INCLUDED ON THE MONTHLY STATEMENTS THE CUSTOMER RECEIVED. IN MARCH AND APRIL OF 1999 ORDERS WERE ENTERED TO PURCHASE \$14,292.46 OF IHSVE STOCK IN THE CUSTOMER'S ACCOUNT. THE STOCK WAS SOLD IN JUNE OF 1999 AND THE CUSTOMER REALIZED APPROXIMATELY A \$2,000.00 GAIN. IN JULY OF 1999 \$18,140.76 OF IHSVE WAS PURCHASED IN THE CUSTOMER'S ACCOUNT. THE CUSTOMER AGAIN WOULD HAVE RECEIVED A CONFIRMATION FOR THE TRADE WHICH ALSO WOULD HAVE BEEN DESCRIBED ON HER MONTHLY STATEMENT. MR. HAYNES TERMINATED HIS EMPLOYMENT WITH OUR FIRM IN MAY OF 2000 AND THE CUSTOMER SHORTLY THEREAFTER TRANSFERRED HER ACCOUNT TO HIS NEW FIRM. MR. HAYNES DID NOT PROVIDE A STATEMENT TO OUR FIRM IN RESPONSE TO THE COMPLAINT. THE CUSTOMER DID NOT COMPLAIN TO OUR FIRM ABOUT THE JULY 1999 PURCHASE UNTIL MARCH OF 2001. SHE ALSO HAD TRANSFERRED HER ACCOUNT TO MR. HAYNES' NEW FIRM APPROXIMATELY ONE YEAR AFTER THE ORDER IN QUESTION WAS ENTERED IN HER ACCOUNT. THE INFORMATION AVAILABLE INDICATES THE CUSTOMER AGREED WITH AND ACCEPTED THE TRADE SHE IS NOW QUESTIONING WHEN THE TRADE WAS ENTERED INTO HER ACCOUNT. CLAIM DENIED.

Reporting Source: Individual

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

Allegations: THE CLIENT STATES SHE INITIALLY DISCUSSED WITH HAYNES THAT SHE DID NOT WANT TO RISK LOSING ANY MONEY AND WANTED TO INVEST IN A LOW RISK MUTUAL FUND. THE CLIENT STATES HAYNES INFORMED HER HE WOULD DIVERSIFY HER MONEY. THE CLIENT PURCHASED \$14,000 OF



IHSVQ IN MARCH AND APRIL 1999 AND SOLD IT FOR A \$2,000 GAIN IN JUNE 1999. IN JULY 1999 THE CLIENT PURCHASED \$18,000 OF IHSVQ. THE CLIENT IS UNHAPPY WITH THE PERFORMANCE OF THE STOCK AND QUESTIONS HAYNES'S REPEATED RECOMMENDATION TO NOT LIQUIDATE HER POSITION AS IT CONTINUED TO DECLINE. NO SPECIFIC DAMAGES ALLEGED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/16/2001

Complaint Pending? No

Status: Denied

Status Date: 05/15/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER'S ACCOUNT WITH OUR FIRM WAS OPENED IN SEPTEMBER 1998. SHORTLY AFTER THE ACCOUNT WAS OPENED STOCK TRADES WERE ENTERED IN THE ACCOUNT AND THE CUSTOMER WOULD HAVE RECEIVED CONFIRMATIONS FOR THOSE TRADES AND INFORMATION CONCERNING THE TRADES WAS INCLUDED ON THE MONTHLY STATEMENTS THE CUSTOMER RECEIVED. IN MARCH AND APRIL OF 1999 ORDERS WERE ENTERED TO PURCHASE \$14,292.46 OF IHSVQ STOCK IN THE CUSTOMER'S ACCOUNT. THE STOCK WAS SOLD IN JUNE OF 1999 AND THE CUSTOMER REALIZED APPROXIMATELY A \$2000.00 GAIN. IN JULY OF 1999 \$18,140.76 OF IHSVQ WAS PURCHASED IN THE CUSTOMER'S ACCOUNT. THE CUSTOMER AGAIN WOULD HAVE RECEIVED A CONFIRMATION FOR THE TRADE WHICH ALSO WOULD HAVE BEEN DESCRIBED ON HER MONTHLY STATEMENT. MR. HAYNES TERMINATED HIS EMPLOYMENT WITH OUR FIRM IN MAY OF 2000 AND THE CUSTOMER SHORTLY THEREAFTER TRANSFERRED HER ACCOUNT TO HIS NEW FIRM. MR. HAYNES DID NOT PROVIDE A STATEMENT TO OUR FIRM IN RESPONSE TO THE COMPLAINT. THE CUSTOMER DID NOT COMPLAIN TO OUR FIRM ABOUT THE JULY 1999 PURCHASE UNTIL MARCH OF 2001. SHE ALSO HAD TRANSFERRED HER ACCOUNT TO MR. HAYNES' NEW FIRM APPROXIMATELY ONE YEAR AFTER THE ORDER IN QUESTION WAS ENTERED IN HER ACCOUNT. THE INFORMATION AVAILABLE INDICATES THE CUSTOMER AGREED WITH AND ACCEPTED THE TRADE SHE IS NOW QUESTIONING WHEN THE TRADE WAS ENTERED INTO HER ACCOUNT. CLAIM DENIED. WILLIAM HAYNES DENIES THE ALLEGATIONS IN THE COMPLAINT IN ITS ENTIRETY AND HAS FILED A FULL RESPONSE WITH THE NASD.



End of Report

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