IAPD Report

Patricia Ann Gleason

CRD# 2811669

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Patricia Ann Gleason (CRD# 2811669)

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 **05/20/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Newberry, FL	12/20/2024 - 05/20/2026
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	ALACHUA, FL	10/27/2022 - 06/07/2023
IA	LEGACY WEALTH MANAGEMENT, LLC	174767	Archer, FL	04/04/2022 - 10/19/2022

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	4

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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 not currently registered as an Investment Adviser Representative.

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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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/23/2006

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.

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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	12/20/2024 - 05/20/2026	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Newberry, FL
IA	10/27/2022 - 06/07/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	ALACHUA, FL
IA	04/04/2022 - 10/19/2022	LEGACY WEALTH MANAGEMENT, LLC	CRD# 174767	Archer, FL
IA	05/07/2009 - 03/22/2022	CETERA ADVISORS LLC	CRD# 10299	ORLANDO, FL
IA	06/08/2007 - 05/06/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GAINESVILLE, FL
IA	11/16/2006 - 06/27/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	GAINESVILLE, FL

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
12/2024 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Newberry, FL, United States
12/2024 - Present	Raymond James Financial Services Inc.	Registered Representative	Y	Newberry, FL, United States
09/2024 - 11/2024	State Farm VP Management Corp.	Registered Representative	Y	Gainesville, FL, United States
08/2023 - 08/2024	WealthBridge Financial	Insurance Licensed, Long Term Care Insurance.	N	Gainesville, FL, United States
10/2022 - 06/2023	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Alachua, FL, United States
03/2022 - 10/2022	Legacy Wealth Management, LLC	Investment Advisor Representative	Y	Boise, ID, United States
05/2009 - 03/2022	CETERA ADVISORS LLC	REGISTERED REP/IAR	Y	DENVER, CO, United States

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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: Address: 3922 NW 69th Street, Gainesville, FL, 32606, United States Activity Type: Real Estate Brokerage/ Agent or Development Position/Title: Agent Investment Related: No Start Date: 09/10/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I have a Florida Real Estate license solely for my personal real estate sales and purchases. Not client related.
(2)Name of Business: Address: 24836 W Newberry Rd, Newberry, FL, 32669-2233, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 01/21/2025 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Act a liasion between client and estate planning attorneys and co-insurance agents.
(3)Name of Business: Gradiant Life Insurance Address: 3922 NW 69th STreet , Gainesville , FL, 32606, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 07/10/2025 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: offer fixed insurance to non RAYMOND James clients
(4)Name of Business: Greg Smith LLC Address: 24836 W Newberry Rd, Newberry, FL, 32669-2233, United States Activity Type: Other Position/Title: Other Investment Related: Yes Start Date: 12/20/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am a independent contractor financial advisor with Raymond James Greg Smith LLC
(5)Name of Business: World Wellness Show, LLC Address: 3922 NW 69th Street , Gainesville , FL, 32606, United States Activity Type: Other Position/Title: Other Investment Related: No Start Date: 08/09/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Host of non--investment related Gainesville Fl education and hobby: owner. 1 hour per month on a weekend or evening , 0 during trading hours. I interview doctors about holistic wellness for free to educate and share with the world.

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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.

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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	4

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 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Cetera Advisors LLC

Allegations: Claimants allege that their registered representative recommended unsuitable alternative investments.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: $500,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/12/2021

Complaint Pending? No

Status: Settled

Status Date: 01/14/2022

Settlement Amount: $30,000.00

Individual Contribution Amount: $0.00

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Broker Statement	Risks fully disclosed and then reviewed again at subsequent meetings. Investment met client asset levels & suitability & was even acknowledged by client with no wrongdoing on my part. Firm decided to resolve matter to avoid litigation expense.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Unsuitable investments, excessive commissions, mismanagement, and churning.
Product Type:	Direct Investment-DPP & LP Interests Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The POA requested the representative "make this right" but did not specify specific dollar damages.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/29/2019
Complaint Pending?	No
Status:	Settled
Status Date:	10/08/2019
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$3,000.00
Broker Statement	In 23 years as a Financial Advisor I have had NO complaints about suitability, and I DENY these allegations completely. I am a fiduciary and hold my client's objectives and goals to highest standards. Client requested income from a portion of the portfolio and were therefore suitable. Client was proactive investor with good understanding of his personal investing requests from 2004 - 2017 and participated fully with equity purchases in portfolio. I will defend my reputation entirely. However, to avoid a lengthy arbitration causing additional personal stress - I have decided to settle this issue without accepting any wrongdoing on my part.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES THAT ROLLING OVER HIS 401 K INTO A 2005 IRA BROKERAGE ACCOUNT AND THEN UTILIZING SOME OF THE FUNDS TO REPAY OTHER DEBTS WAS NOT SUITABLE ADVICE. CLIENT ALLEGES THAT I

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	WAS AWARE OF HIS FINANCIAL SITUATION AND THAT HE NOW OWES $18,441 TO THE IRS. CLIENT SEEKS COMPENSATION FOR DAMAGES RESULTING FROM THE IMPROPER ADVICE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$18,736.00

Customer Complaint Information

Date Complaint Received:	04/19/2006
Complaint Pending?	No
Status:	Denied
Status Date:	05/17/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES AGENT FILLED OUT AND SIGNED THEIR NAMES TO AN ANNUITY CHANGE OF DEALER FORM. CLIENTS ARE REQUESTING TO HAVE THEIR ACCOUNTS TRANSFERRED BACK TO THEIR CURRENT AGENT AND ASK THAT ANY FUTURE CHANGES TO THESE ACCOUNTS BE CONFIRMED TO THEM BY PHONE.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	10/21/2005
Complaint Pending?	No
Status:	Denied
Status Date:	03/24/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE COMPLAINT. ACCOUNTS HAVE BEEN TRANSFERRED AS REQUESTED.

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End of Report

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