IAPD Report

PAUL RICHARD QUINN

CRD# 2909821

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

PAUL RICHARD QUINN (CRD# 2909821)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	01/06/2014
IA	J. W. COLE ADVISORS, INC.	CRD# 112294	01/10/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	LAKELAND, FL	02/24/2011 - 12/31/2013
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	LAKELAND, FL	10/06/2010 - 12/31/2013
IA	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	RANTOUL, IL	05/16/2006 - 09/03/2009

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
Regulatory Event	1
Customer Dispute	2
Termination	1

Report Summary

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

Employment 1 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 124583

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/06/2014
B	Alabama	Agent	Approved	09/20/2022
B	Arizona	Agent	Approved	02/06/2019
B	Florida	Agent	Approved	01/06/2014
B	Georgia	Agent	Approved	03/03/2015
B	Illinois	Agent	Approved	01/09/2014
B	Indiana	Agent	Approved	03/25/2014
B	Iowa	Agent	Approved	05/22/2018
B	Kentucky	Agent	Approved	04/30/2014
B	Minnesota	Agent	Approved	04/22/2014
B	Missouri	Agent	Approved	08/23/2017
B	North Carolina	Agent	Approved	01/05/2026
B	Ohio	Agent	Approved	06/20/2014

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	11/09/2020
B	Texas	Agent	Approved	07/13/2015

Branch Office Locations

LAKELAND, FL

Employment 2 of 2

Firm Name: **J. W. COLE ADVISORS, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 112294

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	01/10/2014

Branch Office Locations

J. W. COLE ADVISORS, INC.
LAKELAND, FL

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
No information reported.		

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	09/05/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/22/1997

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	02/24/2011 - 12/31/2013	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	LAKELAND, FL
B	10/06/2010 - 12/31/2013	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	LAKELAND, FL
IA	05/16/2006 - 09/03/2009	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	RANTOUL, IL
B	03/31/2003 - 09/03/2009	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	RANTOUL, IL
B	03/07/2000 - 03/31/2003	CONTINENTAL CAPITAL INVESTMENT SERVICES, INC.	CRD# 2864	BRYAN, OH
B	09/09/1997 - 03/06/2000	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY

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
01/2014 - Present	J.W. COLE ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, United States
01/2014 - Present	J.W. COLE FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
08/2010 - 05/2018	ST JOSEPH ACADEMY	MATH/SCIENCE TEACHER	N	LAKELAND, FL, 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. KRENSON OAKS HOA-N-LAKELAND, FL-HOMEOWNERS ASSOCIATION-TREASURER-1/2013-1-0-MEETING 5 TIMES A YEAR-GIVE REPORT. FIXED, LIFE, AND INDEX INSURANCE SALES.
2. PAUL QUINN FINANCIAL DBA; 6751 KRENSON OAKS CIRCLE LAKELAND, FL 33810; Securities and insurance DBA; 01/06/2014; INVESTMENT-RELATED DBA; 160/MO 140 DURING TRADING HOURS.
3. Executor for Gary Buchanan

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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
Regulatory Event	1
Customer Dispute	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition Revocation
Date Initiated:	08/18/2009
Docket/Case Number:	0900220
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Product Type:	Options
Allegations:	PAUL QUINN IS ALLEGED TO HAVE RECOMMENDED AND PURCHASED UNSUITABLE SECURITIES FOR A CLIENT IN VIOLATION OF SECTION 12.J(3) OF THE ILLINOIS SECURITIES ACT AND FOR MAKING MISREPRESENTATIONS AND OMISSIONS OF FACT IN THE OFFER OF SECURITIES IN VIOLATION OF SECTIONS 12.F, 12.G, 12.I. 12.J(1), 12.J(2), AND 12.J(3) OF THE ILLINOIS SECURITIES ACT.
Current Status:	Final
Resolution:	Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/28/2010
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	90 DAYS
Start Date:	08/18/2009
End Date:	11/16/2009
Regulator Statement	PAUL QUINN WAS TEMPORARLY SUSPENDED FOR 90 DAYS STARTING AUGUST 18, 2009 AND ENDING NOVEMBER 16, 2009. FOR MORE INFORMATION, CONTACT ENFORCEMENT ATTORNEY JAMES GLEFFE AT (312) 793-3384.

Reporting Source:	Individual
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition Revocation
Date Initiated:	08/18/2009
Docket/Case Number:	0900220
Employing firm when activity occurred which led to the regulatory action:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Product Type:	Options
Allegations:	PAUL QUINN IS ALLEGED TO HAVE RECOMMENDED AND PURCHASED UNSUITABLE SECURITIES FOR A CLIENT IN VIOLATION OF SECTION 12.J(3) OF THE ILLINOIS SECURITIES ACT AND FOR MAKING MISREPRESENTATIONS AND OMISSIONS OF FACT IN THE OFFER OF SECURITIES IN VIOLATION OF SECTIONS 12.F, 12.G, 12.I, 12.J(1), 12.J(2), AND 12.J(3) OF THE ILLINOIS SECURITIES ACT.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	06/28/2010
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	90 DAYS
Start Date:	08/18/2009
End Date:	11/16/2009
Broker Statement	PAUL QUINN WAS TEMPORARILY SUSPENDED FOR 90 DAYS STARTING AUGUST 18, 2009 AND ENDING NOVEMBER 16, 2009. FOR MORE INFORMATION, CONTACT ENFORCEMENT ATTORNEY JAMES GLEFFE AT (312)793-3384.

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:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE DID UNAUTHORIZED AND UNSUITABLE TRADING IN HER ACCOUNT AND THAT BERTHEL FISHER FAILED TO SUPERVISE. NOTE: THIS IS A MANAGED ACCOUNT UNDER BERTHEL FISHER'S RIA.
Product Type:	Options
Alleged Damages:	$400,000.00
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:	04/03/2009
Complaint Pending?	No
Status:	Settled
Status Date:	06/24/2010
Settlement Amount:	$240,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE DID UNAUTHORIZED AND UNSUITABLE TRADING IN HER ACCOUNT AND THAT BERTHEL FISHER FAILED TO SUPERVISE. NOTE: THIS IS A MANAGED ACCOUNT UNDER BERTHEL FISHER'S RIA.
Product Type:	Options
Alleged Damages:	$400,000.00
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: 04/03/2009

Complaint Pending? No

Status: Settled

Status Date: 06/24/2010

Settlement Amount: $240,000.00

Individual Contribution Amount: $0.00

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.J.B. HILLIARD, W.L. LYONS, INC.

Allegations: CUSTOMER ALLEGES UNAUTHORIZED TRADING IN HIS ACCOUNT FROM MAY 1999 THRU JANUARY 2000.

Product Type: Options

Alleged Damages: $30,000.00

Customer Complaint Information

Date Complaint Received: 09/17/2001

Complaint Pending? No

Status: Denied

Status Date: 11/29/2001

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.J.B. HILLIARD, W.L. LYONS, INC.

Allegations: CUSTOMER ALLEGES UNAUTHORIZED TRADING IN HIS ACCOUNT FROM MAY 1999 THROUGH JANUARY 2000.

Product Type: Options

Alleged Damages: $30,000.00

Customer Complaint Information

Date Complaint Received: 09/17/2001

Complaint Pending? No

Status: Denied

Status Date:	11/29/2001
Settlement Amount:	
Individual Contribution Amount:	

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	09/02/2009
Allegations:	STATE OF ILLINOIS ALLEGES THE REPRESENTATIVE RECOMMENDED AND PURCHASED UNSUITABLE SECURITIES FOR ONE CLIENT, MADE FALSE STATEMENTS ON THE CLIENTS NEW ACCOUNT FORM, AND MISREPRESENTED AND OMITTED CERTAIN FACTS.
Product Type:	Options
Firm Statement	THE REPRESENTATIVE'S SECURITIES LICENSE WAS TEMPORARILY SUSPENDED BY THE STATE OF ILLINOIS.

Reporting Source:	Individual
Firm Name:	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	09/02/2009
Allegations:	STATE OF ILLINOIS ALLEGES THE REPRESENTATIVE RECOMMENDED AND PURCHASED UNSUITABLE SECURITIES FOR ONE CLIENT, MADE FALSE STATEMENTS ON THE CLIENTS NEW ACCOUNT FORM, AND MISREPRESENTED AND OMITTED CERTAIN FACTS.
Product Type:	Options
Broker Statement	THE REPRESENTATIVE'S SECURITIES LICENSE WAS TEMPORARILY SUSPENDED BY THE STATE OF ILLINOIS.

End of Report

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