



## IAPD Report

# GRANT ARTHUR GOCHIN

CRD# 2918762

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

### GRANT ARTHUR GOCHIN (CRD# 2918762)

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 **12/05/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/18/2011
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/23/2011

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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>B</b>	UBS FINANCIAL SERVICES INC.	8174	ENCINO, CA	01/03/2003 - 02/24/2011
<b>IA</b>	UBS FINANCIAL SERVICES INC.	8174	ENCINO, CA	01/03/2003 - 02/24/2011
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	09/10/1997 - 01/10/2003

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 **11** 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>B</b>	FINRA	General Securities Representative	Approved	02/18/2011
<b>B</b>	FINRA	General Securities Principal	Approved	07/13/2011
<b>B</b>	California	Agent	Approved	02/18/2011
<b>B</b>	Florida	Agent	Approved	02/18/2011
<b>B</b>	Georgia	Agent	Approved	02/18/2011
<b>B</b>	Illinois	Agent	Approved	02/27/2014
<b>B</b>	Massachusetts	Agent	Approved	02/18/2011
<b>B</b>	New Mexico	Agent	Approved	11/14/2011
<b>B</b>	New York	Agent	Approved	02/18/2011
<b>B</b>	Oregon	Agent	Approved	02/18/2011
<b>B</b>	South Carolina	Agent	Approved	06/12/2025
<b>B</b>	Texas	Agent	Approved	02/18/2011
<b>B</b>	Washington	Agent	Approved	06/20/2018



## Qualifications

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES**  
21600 OXNARD STREET # 640  
WOODLAND HILLS, CA 91367

**RAYMOND JAMES FINANCIAL SERVICES**  
Chatsworth, CA

### 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 California	Investment Adviser Representative	Approved	02/23/2011
IA New Mexico	Investment Adviser Representative	Approved	09/14/2012
IA Texas	Investment Adviser Representative	Restricted Approval	11/09/2011

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
21600 OXNARD STREET #640  
WOODLAND HILLS, CA 91367

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN**  
Chatsworth, CA



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	07/12/2011

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	03/30/1998
General Securities Representative Examination (S7)	Series 7	09/09/1997

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/29/1997

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



### 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	01/03/2003 - 02/24/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	ENCINO, CA
IA	01/03/2003 - 02/24/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	ENCINO, CA
B	09/10/1997 - 01/10/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	07/08/1997 - 01/10/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	ENCINO, CA

#### 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
09/2015 - Present	Finra	Other (Paid)	N	Los Angeles, CA, United States
02/2011 - Present	Grant Arthur & Associates Wealth Services, Llc	Other	N	Woodland Hills, CA, United States
02/2011 - Present	Raymond James Financial Services	Financial Advisor	Y	WOODLAND HILLS, CA, United States
02/2011 - Present	Raymond James Financial Services Advisors, Inc	Investment Advisor	Y	WOODLAND HILLS, CA, United States
10/2020 - 11/2024	Personal Activism	Other	N	Chatsworth, CA, 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: Grant Arthur & Associates Wealth Services, LLC. Address: 21600 Oxnard St Ste 640, Woodland Hills, CA, 91367, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 02/18/2011 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: President
- (2)Name of Business: Honorary Consulate - Republic of Togo Address: 10900 Winnetka Ave, Chatsworth, CA, 91311, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Officer - CEO Investment Related: No Start Date: 04/29/2009 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Honorary Consul for the Republic of Togo.
- (3)Name of Business: Monteria Estates Homeowners Association Address: 10900 Winnetka Avenue, Chatsworth, CA, 91311, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Committee Member Investment Related: No Start Date: 12/09/2021 Hours per month devoted to this business: 0-1 Hours per month devoted to this



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

business during trading hours: 0-1 Description of duties: Homeowners Association neighborhood Board member  
(4)Name of Business: NA Address: 10900 Winnetka Ave, Chatsworth, CA, 91311, United States Activity Type: Other Position/Title  
Author Investment Related: No Start Date: 08/01/2013 Hours per month devoted to this business: 0-1 Hours per month devoted  
to this business during trading hours: 0-1 Description of duties: Publishing a book



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC
<b>Allegations:</b>	TIME FRAME? JAN. 2008 - SEPT. 2008 CLAIMANTS ASSERT THAT STRUCTURED PRODUCTS PURCHASED BY THEM WERE UNSUITABLE AND MISREPRESENTED. CLAIMANTS ALLEGE THAT "UBS'S MISCONDUCT WAS A CORPORATE FAILURE RATHER THEN A FAILURE THAT CAN BE PINNED SOLELY ON INDIVIDUAL BROKERS"
<b>Product Type:</b>	Other: STRUCTURED PRODUCTS
<b>Alleged Damages:</b>	\$175,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	12-00813
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/15/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/15/2012
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**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 08/28/2013  
**Settlement Amount:** \$64,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC  
**Allegations:** TIME FRAME? JAN. 2008 - SEPT. 2008 CLAIMANTS ASSERT THAT STRUCTURED PRODUCTS PURCHASED BY THEM WERE UNSUITABLE AND MISREPRESENTED. CLAIMANTS ALLEGE THAT "UBS'S MISCONDUCT WAS A CORPORATE FAILURE RATHER THAN A FAILURE THAT CAN BE PINNED SOLELY ON INDIVIDUAL BROKERS"  
**Product Type:** Other: STRUCTURED PRODUCTS  
**Alleged Damages:** \$175,000.00  
**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 #:** 12-00813  
**Filing date of arbitration/CFTC reparation or civil litigation:** 03/15/2012

### Customer Complaint Information

**Date Complaint Received:** 03/15/2012  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 08/28/2013  
**Settlement Amount:** \$64,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** THIS ACTION DOES NOT ALLEGE WRONGDOING BY GRANT GOCHIN, AND DOES NOT NAME ME. THE ALLEGATIONS ARE ABOUT UBS FINANCIAL SEVICES, INC.

### Disclosure 2 of 2

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CUSTOMER ALLEGES UNSUITABILITY AND LACK OF DISCLOSURE.

**Product Type:** Equity - OTC

**Alleged Damages:** \$24,593.00

### **Customer Complaint Information**

**Date Complaint Received:** 05/17/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/12/2003

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** WE WROTE THE CUSTOMER ON 6/17/02 AND 7/12/02 THAT WE DO NOT BELIEVE THERE IS ANY MERIT TO THE ALLEGATIONS. WE HAVE NOT HEARD BACK FROM THE CUSTOMER.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CUSTOMER ALLEGES UNSUITABILITY AND LACK OF DISCLOSURE.

**Product Type:** Equity - OTC

**Alleged Damages:** \$24,593.00

### **Customer Complaint Information**

**Date Complaint Received:** 05/17/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/17/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** MERRILL LYNCH AND THE FINANCIAL ADVISOR DENY THE ALLEGATIONS. THE CUSTOMER COMPLETED A CONSULTS QUESTIONNAIRE AND BASED UPON HIS RESPONSES, AN OUTSIDE INVESTMENT MANAGER WAS CHOSEN FOR HIM. THE ALLEGATIONS ARE WITHOUT MERIT.



## End of Report

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