



## IAPD Report

# CLINTON RANDOLPH WILSON

CRD# 2954236

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9

**i** 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

### CLINTON RANDOLPH WILSON (CRD# 2954236)

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 **10/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/10/2000
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	06/25/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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>IA</b>	RAYMOND JAMES FINANCIAL SERVICES	6694	KEY LARGO, FL	04/27/2004 - 10/10/2009
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES	6694	KEY LARGO, FL	10/22/2001 - 12/31/2003
<b>B</b>	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	06/30/2000 - 08/07/2000

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	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 **36** 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	08/10/2000
<b>B</b>	FINRA	General Securities Principal	Approved	11/08/2000
<b>B</b>	FINRA	Municipal Securities Principal	Approved	12/16/2003
<b>B</b>	FINRA	Municipal Securities Representative	Approved	12/16/2003
<b>B</b>	Alabama	Agent	Approved	06/02/2021
<b>B</b>	Arkansas	Agent	Approved	04/03/2020
<b>B</b>	California	Agent	Approved	04/07/2004
<b>B</b>	Colorado	Agent	Approved	03/02/2020
<b>B</b>	Connecticut	Agent	Approved	01/20/2022
<b>B</b>	Delaware	Agent	Approved	12/20/2022
<b>B</b>	District of Columbia	Agent	Approved	01/25/2022
<b>B</b>	Florida	Agent	Approved	01/09/2001
<b>B</b>	Georgia	Agent	Approved	03/18/2020



### Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	03/31/2017
B Illinois	Agent	Approved	08/10/2000
B Indiana	Agent	Approved	01/24/2022
B Iowa	Agent	Approved	01/22/2019
B Kansas	Agent	Approved	01/20/2022
B Kentucky	Agent	Approved	01/20/2022
B Louisiana	Agent	Approved	01/20/2022
B Maryland	Agent	Approved	02/18/2020
B Massachusetts	Agent	Approved	01/21/2020
B Michigan	Agent	Approved	01/22/2020
B Missouri	Agent	Approved	08/19/2021
B Nebraska	Agent	Approved	01/14/2020
B New Hampshire	Agent	Approved	02/13/2020
B New Jersey	Agent	Approved	02/13/2020
B New York	Agent	Approved	01/31/2004
B North Carolina	Agent	Approved	01/10/2020
B North Dakota	Agent	Approved	10/06/2025
B Ohio	Agent	Approved	04/17/2002
B Oregon	Agent	Approved	03/04/2020



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	04/16/2002
<b>B</b> South Carolina	Agent	Approved	01/24/2022
<b>B</b> Tennessee	Agent	Approved	03/03/2020
<b>B</b> Texas	Agent	Approved	04/22/2020
<b>B</b> Vermont	Agent	Approved	02/22/2019
<b>B</b> Virginia	Agent	Approved	03/03/2020
<b>B</b> Washington	Agent	Approved	11/15/2023
<b>B</b> Wisconsin	Agent	Approved	02/13/2020

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES

5495 BRYSON DRIVE  
SUITE 421  
NAPLES, FL 34109

### 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
<b>IA</b> Florida	Investment Adviser Representative	Approved	06/25/2009
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/21/2021

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

5495 BRYSON DRIVE



## Qualifications

SUITE 421  
NAPLES, FL 34109





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	12/15/2003
 General Securities Principal Examination (S24)	Series 24	11/07/2000

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/26/1997

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	09/25/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/1997

### 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
IA	04/27/2004 - 10/10/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	KEY LARGO, FL
IA	10/22/2001 - 12/31/2003	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	KEY LARGO, FL
B	06/30/2000 - 08/07/2000	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	03/02/1998 - 07/21/2000	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	11/28/1997 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	

### 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
01/2010 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	ADVISOR	Y	NAPLES, FL, United States
09/2005 - Present	SMART ASSETS MANAGEMENT, INC	OFFICER-PRESIDENT	Y	NAPLES, FL, United States
08/2000 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	BRANCH MANAGER/FINANCIAL ADVISOR	Y	NAPLES, 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)Name of Business: Bryson Realty, LLC Address: 5495 Bryson Drive; Naples, Florida 34109, Naples, FL, 34109, United States Activity Type: Rental Real Estate Position/Title: Agent Investment Related: Yes Start Date: 06/01/2007 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manager to oversee office space utilized by RJFS (aka Smart Assets Mgmt, Inc. ~ our operating company).

(2)Name of Business: Macosha LLC Address: 6363 Old Mahogany Court, Naples, FL, 34109, United States Activity Type: Rental Real Estate Position/Title: Other Investment Related: Yes Start Date: 09/16/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manager in Macosha LLC - family rental property

(3)Name of Business: PIPECONE LLC Address: 6363 Old Mahogany Court, Naples, FL, 34109, United States Activity Type: Rental Real Estate Position/Title: Other Investment Related: Yes Start Date: 08/13/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manager, Pipecone LLC wholly owned and controlled by Spouse.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

(4)Name of Business: Smart Assets Management, Inc. Address: 5495 Bryson Drive, Naples, FL, 34109, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 09/06/2005 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: President/Proprietor



## 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	RBC DAIN RAUSCHER, INC., ROBERT W. BAIRD & CO., INC., RAYMOND JAMES FINANCIAL SERVICES,
<b>Allegations:</b>	BREACH OF CONTRACT; MARGIN CALLS; NEGLIGENCE; FAILURE TO EXECUTE; MISREPRESENTATIONS AND OMISSIONS; CHURNING; UNSUITABILITY; COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY AND CONSTRUCTIVE FRAUD
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	STOCKS
<b>Alleged Damages:</b>	\$134,000.00

#### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">NASD - CASE #02-07346</a>
<b>Date Notice/Process Served:</b>	12/05/2002
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Other
<b>Disposition Date:</b>	04/04/2005
<b>Disposition Detail:</b>	STIPULATED AWARD - NASD RECEIVED NOTIFICATION OF THE PARTIES' SETTLEMENT ON FEBRUARY 9, 2004.



**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** ROBERT W. BAIRD & CO. INCORPORATED  
**Allegations:** CLIENT ALLEGES UNSUITABLE ACCOUNT ACTIVITY PRIOR TO SIGNING OF DOCUMENTS TO OPEN BAIRD ACCOUNT, ULTIMATELY THE ACCOUNT DID NOT TRANSFER TO BAIRD.  
**Product Type:** Equity - OTC  
**Alleged Damages:** \$158,945.00

### Customer Complaint Information

**Date Complaint Received:** 02/28/2003  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 02/28/2003  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD DISPUTE RESOLUTION NO. 02-07346](#)  
**Date Notice/Process Served:** 02/28/2003  
**Arbitration Pending?** No  
**Disposition:** Dismissed  
**Disposition Date:** 12/19/2003

### Firm Statement

THERE WERE NO TRANSACTIONS EFFECTED EITHER AT OR THROUGH ROBERT W. BAIRD, AND ALL ALLEGATIONS RELATED TO BAIRD'S PORTION OF THIS ARBITRATION WAS DISMISSED. THIS ARBITRATION WAS SETTLED FOR \$72,500.00. RBC DAIN RAUSCHER INC. SETTLED THEIR PORTION OF THE ARBITRATION FOR \$42,500.00 AND RAYMOND JAMES FINANCIAL SERVICES SETTLED THEIR PORTION OF THE ARBITRATION FOR \$30,000.00 OF WHICH CLINTON WILSON PAID 100%. BAIRD WAS NEVER OFFICALLY NOTIFIED BY THE NASD AS TO THE EXACT DATE THEY WERE DISMISSED.

---

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** RBC DAIN RAUSCHER INC.  
**Allegations:** CLIENT ALLEGES BROKER MISLEAD AND MISINFORMED HIM REGARDING INVESTMENTS.  
**Product Type:** Equity - OTC  
**Alleged Damages:** \$158,945.00

### Customer Complaint Information



**Date Complaint Received:** 10/30/2002  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 02/24/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD# 02-07346](#)

**Date Notice/Process Served:** 02/24/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/09/2003

**Monetary Compensation Amount:** \$42,500.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** RAYMOND JAMES IS ALSO NAMED IN THE COMPLAINT

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ROBERT W. BAIRD & CO., INC; RAYMONDJAMES FINANCIAL SERVICES, INC; RBC DAIN RAUSCHER

**Allegations:** CLIENT ALLEGES UNSUITABLE ACCOUNT ACTIVITY.

**Product Type:** Equity - OTC

**Alleged Damages:** \$158,945.91

**Customer Complaint Information**

**Date Complaint Received:** 02/28/2003

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/28/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD ARBITRATION# 02-07346](#)

**Date Notice/Process Served:** 02/28/2003



<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/19/2003
<b>Monetary Compensation Amount:</b>	\$72,500.00
<b>Individual Contribution Amount:</b>	\$30,000.00
<b>Broker Statement</b>	<p>CLAIMANT'S ARBITRATION AGAINST WILSON WAS DISMISSED BY THE N.A.S.D.</p> <p>CLAIMANT'S TRANSACTIONS WERE BOTH SUITABLE AND CONCURRENT WITH CLAIMANT'S REQUESTS AND THE AGGRESSIVE INVESTMENT OBJECTIVES HE STATED THROUGHOUT HIS APPROXIMATE FOUR YEAR RELATIONSHIP WITH THREE INVESTMENT FIRMS AND SEVERAL INVESTMENT ADVISORS. CLAIMANT'S LOSSES WERE CLAIMED AT WELL IN EXCESS OF \$150,000+ AND SETTLEMENT OCCURRED FOR LESS THAN 1/5TH OF CLAIMANT'S REQUEST.</p> <p>RBC DAIN RAUSCHER'S SETTLEMENT WAS PAID 100% BY RBC TO CLAIMANT. RBC DAIN RAUSCHER SETTLED WITH CLAIMANT AND NEITHER CONSULTED WILSON NOR REQUESTED ANY INDIVIDUAL CONTRIBUTION FROM WILSON WHATSOEVER.</p> <p>CLAIMANT'S ARBITRATION AGAINST RAYMOND JAMES WAS DISMISSED.</p> <p>CLAIMANT'S ARBITRATION AGAINST ROBERT W. BAIRD WAS DISMISSED.</p> <p>CLAIMANT'S ARBITRATION AGAINST RBC DAIN RAUSCHER WAS DISMISSED.</p>



## End of Report

This page is intentionally left blank.