User Guidance

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IAPD Report

LISA ROGERS BOONE

CRD# 3114195

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

LISA ROGERS BOONE (CRD# 3114195)

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 **11/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **12** 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	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA	02/22/2011 - 02/13/2013
B	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA	01/18/2011 - 02/13/2013
B	MORGAN STANLEY SMITH BARNEY	149777	ATLANTA, GA	06/01/2009 - 01/21/2011

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
Termination	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 **12** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/13/2013
B	Investors' Exchange LLC	General Securities Representative	Approved	11/05/2025
B	MEMX LLC	General Securities Representative	Approved	11/05/2025
B	NYSE American LLC	General Securities Representative	Approved	02/13/2013
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/05/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/05/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/22/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	02/13/2013
B	New York Stock Exchange	General Securities Representative	Approved	02/13/2013
B	Alabama	Agent	Approved	02/13/2013
B	California	Agent	Approved	02/13/2013
B	Florida	Agent	Approved	02/13/2013
B	Georgia	Agent	Approved	02/13/2013

Qualifications

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	02/13/2013
B	Massachusetts	Agent	Approved	02/13/2013
B	North Carolina	Agent	Approved	02/13/2013
B	Ohio	Agent	Approved	06/07/2013
B	South Carolina	Agent	Approved	02/13/2013
IA	South Carolina	Investment Adviser Representative	Approved	01/13/2019
B	Tennessee	Agent	Approved	02/13/2013
B	Texas	Agent	Approved	02/13/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	03/28/2013
B	Utah	Agent	Approved	09/03/2015
B	Virginia	Agent	Approved	02/13/2013

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1325 GREENE STREET
AUGUSTA, GA 30901

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	10/21/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/06/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/29/1998

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	02/22/2011 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
B	01/18/2011 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
B	06/01/2009 - 01/21/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ATLANTA, GA
IA	06/01/2009 - 01/21/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ATLANTA, GA
IA	03/31/2003 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
B	03/14/2001 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
B	10/22/1998 - 03/19/2001	THE ROBINSON-HUMPHREY COMPANY, LLC	CRD# 723	ATLANTA, GA

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
12/2016 - Present	Raymond James & Associates, Inc.	Registered Associate	Y	Augusta, GA, United States
02/2013 - 12/2016	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	ATLANTA, GA, 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 : DOLPHIN REALTI GROWTH LLC
ADDRESS: ATLANTA, GA
NATURE OF THE BUSINESS: PERSONAL/PRIVATE INVESTMENT
POSITION/TITLE: PASSIVE INVESTOR
INVESTMENT RELATED:YES
START DATE: 09/02/2006
HOURS PER MONTH DEVOTED TO THIS BUSINESS: 0
HOURS PER MONTH DEVOTED TO THIS BUSINESS DURING TRADING HOURS: 0
DESCRIPTION OF DUTIES: PASSIVE INVESTOR

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2)Name of Business : Master's Home Rental
Address: 52 Crystal Lake Drive, North Augusta, SC
Nature of the Business: Rental Real Estate
Position/Title: Proprietor/Owner
Investment Related: Yes
Start Date: 04/01/2018
Hours per month devoted to this business: 0-1
Hours per month devoted to this business during trading hours: 0-1
Description of duties: I rent my personal residence for one week each year to Inspirato, an internationally recognized travel club, during the Master's golf tournament.

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
Regulatory Event	1
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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/21/2012
Docket/Case Number:	2011026267201
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	No Product
Allegations:	FINRA RULE 2010: BOONE PARTICIPATED IN THREE TELEPHONE CONFERENCE CALLS WITH A CUSTOMER AND CUSTOMER SERVICE REPRESENTATIVES OF AN INSURANCE COMPANY. THE PURPOSE OF THE CALLS WAS FOR THE CUSTOMER TO GATHER INFORMATION FROM THE INSURANCE COMPANY REGARDING A LIFE INSURANCE POLICY THAT SHE HAD PURCHASED FROM IT. THE CUSTOMER, HOWEVER, WAS NOT THE OWNER OF THE POLICY. THE POLICY WAS HELD IN AN IRREVOCABLE LIFE INSURANCE TRUST, THROUGH WHICH THE CUSTOMER'S DAUGHTER WAS THE BENEFICIARY AND ONE OF TWO TRUSTEES. THE CUSTOMER WAS NOT THE OTHER TRUSTEE. ACCORDINGLY, THE INSURANCE COMPANY REPRESENTATIVES WERE NOT AUTHORIZED TO RELEASE ANY INFORMATION REGARDING THIS POLICY TO THIRD PARTIES, SUCH AS THE CUSTOMER AND BOONE, WITHOUT THE CUSTOMER'S DAUGHTER'S CONSENT. DURING EACH OF THE THREE CALLS, BOONE REPRESENTED TO AN INSURANCE COMPANY REPRESENTATIVE THAT THE CUSTOMER'S DAUGHTER WAS ON THE LINE WHEN SHE WAS NOT. INSTEAD, THE

	CUSTOMER IMPERSONATED HER DAUGHTER TO OBTAIN POLICY INFORMATION. THE CUSTOMER, WITH HER DAUGHTER'S APPROVAL, SUBSEQUENTLY SURRENDERED THE LIFE INSURANCE POLICY AND PURCHASED ANOTHER POLICY THROUGH BOONE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/21/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	20 BUSINESS DAYS
Start Date:	09/17/2012
End Date:	10/12/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	09/07/2012
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, BOONE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE SHE IS FINED $10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT SEPTEMBER 17, 2012 THROUGH OCTOBER 12, 2012. FINE PAID IN FULL ON SEPTEMBER 07, 2012.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/21/2012

Docket/Case Number:	201102627201
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	No Product
Allegations:	FINRA RULE 2010: BOONE PARTICIPATED IN TELEPHONE CONFERENCE CALLS WITH A CUSTOMER AND CUSTOMER SERVICE REPRESENTATIVES OF AN INSURANCE COMPANY. THE PURPOSE OF THE CALLS WAS FOR THE CUSTOMER TO GATHER INFORMATION FROM THE INSURANCE COMPANY REGARDING A LIFE INSURANCE POLICY THAT SHE HAD PURCHASED FROM IT FOR THE BENEFIT OF THE CUSTOMER'S DAUGHTER. THE CUSTOMER, HOWEVER, WAS NOT THE OWNER OF THE POLICY. ACCORDINGLY, THE INSURANCE COMPANY REPRESENTATIVES WERE NOT AUTHORIZED TO RELEASE ANY INFORMATION REGARDING THIS POLICY TO THIRD PARTIES,WITHOUT THE CUSTOMER'S DAUGHTER'S CONSENT. DURING THE CALLS, BOONE REPRESENTED TO AN INSURANCE COMPANY REPRESENTATIVE THAT THE CUSTOMER'S DAUGHTER WAS ON THE LINE WHEN SHE WAS NOT. INSTEAD, THE CUSTOMER IMPERSONATED HER DAUGHTER TO OBTAIN POLICY INFORMATION. THE CUSTOMER, WITH HER DAUGHTER'S APPROVAL, SUBSEQUENTLY SURRENDERED THE LIFE INSURANCE POLICY AND PURCHASED ANOTHER POLICY THROUGH BOONE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/21/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	20 BUSINESS DAYS
Start Date:	09/17/2012
End Date:	10/20/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	

Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, BOONE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE SHE IS FINED $10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT SEPTEMBER 17, 2012 THROUGH OCTOBER 12, 2012.

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:	MORGAN STANLEY SMITH BARNEY
Termination Type:	Discharged
Termination Date:	01/05/2011
Allegations:	MS. BOONE WAS DISCHARGED AFTER AN ALLEGATION OF MISSTATEMENTS REGARDING AN INSURANCE POLICY TRANSACTION.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	MORGAN STANLEY SMITH BARNEY
Termination Type:	Discharged
Termination Date:	01/05/2011
Allegations:	MS. BOONE WAS DISCHARGED AFTER AN ALLEGATION OF MISSSTATEMENTS REGARDING AN INSURANCE POLICY TRANSACTION.
Product Type:	No Product

End of Report

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