



IAPD Report

J Daniel Chick

CRD# 3159485

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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

J Daniel Chick (CRD# 3159485)

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 **10/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/01/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/01/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	EDWARD JONES	250	FT WORTH, TX	01/26/2007 - 08/02/2022
B	EDWARD JONES	250	FT WORTH, TX	01/12/1999 - 08/02/2022

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	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 **29** 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	FINRA	General Securities Representative	Approved	08/01/2022
B	Alabama	Agent	Approved	01/05/2024
B	Arizona	Agent	Approved	08/01/2022
B	Arkansas	Agent	Approved	08/01/2022
B	California	Agent	Approved	08/01/2022
B	Colorado	Agent	Approved	08/01/2022
B	Connecticut	Agent	Approved	08/01/2022
B	District of Columbia	Agent	Approved	08/01/2022
B	Florida	Agent	Approved	08/01/2022
B	Georgia	Agent	Approved	08/01/2022
B	Hawaii	Agent	Approved	09/09/2024
B	Indiana	Agent	Approved	08/02/2022
B	Kansas	Agent	Approved	08/01/2022



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	08/01/2022
B Louisiana	Agent	Approved	08/01/2022
B Maryland	Agent	Approved	08/01/2022
B Massachusetts	Agent	Approved	08/01/2022
B Minnesota	Agent	Approved	01/05/2024
B Mississippi	Agent	Approved	09/13/2022
B Missouri	Agent	Approved	01/05/2024
B Nebraska	Agent	Approved	08/01/2022
B New Jersey	Agent	Approved	02/12/2025
B New Mexico	Agent	Approved	08/01/2022
B New York	Agent	Approved	08/01/2022
B Ohio	Agent	Approved	08/01/2022
B Oklahoma	Agent	Approved	08/02/2022
B Pennsylvania	Agent	Approved	01/05/2024
B South Carolina	Agent	Approved	10/03/2025
B Texas	Agent	Approved	08/01/2022
B Washington	Agent	Approved	08/01/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
2974 Park Hill Drive



Qualifications


Fort Worth, TX 76109

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
 Texas	Investment Adviser Representative	Approved	08/01/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
2974 Park Hill Drive
Fort Worth, TX 76109



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	01/11/1999
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/19/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/1999
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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
IA	01/26/2007 - 08/02/2022	EDWARD JONES	CRD# 250	FT WORTH, TX
B	01/12/1999 - 08/02/2022	EDWARD JONES	CRD# 250	FT WORTH, TX

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
08/2022 - Present	Park Hill Financial Services, LLC	Independent Contractor	N	Fort Worth, TX, United States
08/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Fort Worth, TX, United States
08/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Fort Worth, TX, United States
11/1998 - 08/2022	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	FT WORTH, TX, 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: Park Hill Financial Services, LLC Address: 2974 Park Hill Dr, Fort Worth, TX, 76109-1143, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 08/01/2022 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: I offer financial products to the public through Raymond James Investments. I am the Managing Partner of the Partnership as of 1/1/2024.

(2)Name of Business: Pets West Aledo, LLC Address: 102 Bear Cat Road, Aledo, TX, 76008, United States Activity Type: Business Owner Position/Title: Officer - President, Owner/Proprietor Investment Related: No Start Date: 02/01/2020 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 own 50% and my wife owns 50% of a pet supply store.

(3)Name of Business: Riley Industries, LLC Address: 102 Bear Cat Road, Aledo, TX, 76008, United States Activity Type: Business Owner Position/Title: Officer - President, Owner/Proprietor Investment Related: No Start Date: 02/01/2020 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 own the building with my wife that Pets West Aledo rents from this LLC.

(4)Name of Business: Tecolate Petroleum, LLC Address: 4677 Airport Road, Aledo, TX, 76008, United States Activity Type: Business Owner Position/Title: Officer - President Investment Related: Yes Start Date: 01/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is an LLC that I house all of my passive investing in Eagle Natural Resources, API Resources, Breakthrough, Exploration and MA Opportunities Fund II. All of these have been disclosed separately on my outside activities report.



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	THE CLIENT ALLEGED THAT HER INSTRUCTIONS TO SELL OUT HER ADVISORY SOLUTIONS ACCOUNT WERE NOT FOLLOWED IN A TIMELY MANNER.
Product Type:	Mutual Fund
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5000.00
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:	05/10/2010
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2010

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE FA WAS NOT IN THE OFFICE WHEN THE CLIENT INITIALLY CONTACTED HIS OFFICE AT 12:57 P.M. ON MAY 5, 2010 AND INDICATED TO THE BRANCH OFFICE ADMINISTRATOR THAT SHE WANTED TO MOVE THE ACCOUNT TO CASH. THE FA RETURNED HER CALL AT 1:54 P.M. ON THE SAME DAY AND LEFT A VOICEMAIL MESSAGE STATING THAT HE NEEDED TO CONFIRM THE INSTRUCTIONS THAT WERE GIVEN TO HIS NON LICENSED BOA. THE CLIENT EVENTUALLY RETURNED HIS CALL AT 3:00 P.M. ON 5/6/2010 AND THE FA WAS ON THE LINE WITH OTHER CLIENTS. THE FINANCIAL ADVISOR RETURNED THE CLIENTS CALL AT APPROXIMATELY 4:00 P.M. ON 5/6/2010. THE CLIENT GAVE INSTRUCTIONS TO LIQUIDATE HER PORTFOLIO AND MOVE TO CASH. THE FA FOLLOWED THESE INSTRUCTIONS AND THE MUTUAL FUNDS WERE LIQUIDATED ON 5/7/2010 AS INSTRUCTED. SINCE THE FA HAD TO CONFIRM THESE INSTRUCTIONS, THE CLIENT'S REQUEST FOR REIMBURSEMENT WAS DENIED.

Disclosure 2 of 2**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

10/13/08; CLIENT STATES WHEN HER ACCOUNTS WERE UP OVER 16 PERCENT, THEY INQUIRED ABOUT PROTECTING HER LOSSES. CLIENT STATES THE FA TOLD HER NOT TO CHANGE A THING. CLIENT STATES THERE WAS MORE CONTACT WITH THE FA IN WHICH THE SAME RESPONSE WAS RECEIVED. CLIENT STATES THE ACCOUNTS WERE UP 23 PERCENT AT ONE TIME AND ARE NOW DOWN 47 PERCENT.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

11/24/2008

Complaint Pending?

No

Status:

Denied

Status Date:

01/30/2009

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

FA HAS INDICATED THAT HE DID MEET WITH THE CLIENT TO REVIEW THE PORTFOLIOS AND HAS STATED HE DID RECOMMEND THAT THE CLIENT CONTINUE TO HOLD. HOWEVER, THE FA CONTENDS HE WAS NEVER GIVEN INSTRUCTIONS TO MAKE ANY CHANGES AND STATES IF HE HAD BEEN DIRECTED TO MAKE CHANGES THEY WOULD HAVE BEEN MADE. IN CLOSING, UPON REVIEW OF THE INVESTMENTS THAT ARE HELD IN THE ACCOUNTS, THEY DID NOT APPEAR TO BE OUTSIDE OF THE SCOPE OF THE INVESTMENT OBJECTIVES LISTED ON THE ACCOUNTS. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE PORTFOLIO, IT DOES APPEAR THE DECLINES ARE ATTRIBUTED TO



MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. BECAUSE THE FUTURE CANNOT BE PREDICTED WITH COMPLETE ACCURACY, WE ENCOURAGE OUR CLIENTS TO PREPARE FOR THE FUTURE BY MAINTAINING DIVERSIFIED PORTFOLIOS.



End of Report

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