User Guidance

www.adviserinfo.sec.gov

IAPD Report

JOHN CHRISTOPHER CORRERO

CRD# 3179667

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

JOHN CHRISTOPHER CORRERO (CRD# 3179667)

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 **06/15/2026**.

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 **28** 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	MORGAN KEEGAN & COMPANY, INC.	4161	JACKSON, MS	10/06/2004 - 02/13/2013
IA	MORGAN KEEGAN & COMPANY, INC.	4161	JACKSON, MS	10/06/2004 - 02/13/2013
IA	UBS FINANCIAL SERVICES INC.	8174	JACKSON, MS	09/19/2002 - 10/14/2004

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 **28** 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	10/16/2025
B	MEMX LLC	General Securities Representative	Approved	10/16/2025
B	NYSE American LLC	General Securities Representative	Approved	02/13/2013
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/16/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/16/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/25/2013
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	Arizona	Agent	Approved	02/13/2013
B	Arkansas	Agent	Approved	07/09/2013
B	California	Agent	Approved	02/13/2013

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	05/30/2019
B	District of Columbia	Agent	Approved	04/29/2015
B	Florida	Agent	Approved	09/09/2014
B	Georgia	Agent	Approved	02/13/2013
B	Illinois	Agent	Approved	04/08/2014
B	Indiana	Agent	Approved	09/28/2021
B	Kentucky	Agent	Approved	02/13/2013
B	Louisiana	Agent	Approved	02/13/2013
B	Mississippi	Agent	Approved	02/13/2013
IA	Mississippi	Investment Adviser Representative	Approved	02/13/2013
B	Missouri	Agent	Approved	02/15/2013
B	Nevada	Agent	Approved	07/01/2024
B	New Jersey	Agent	Approved	01/29/2025
B	New York	Agent	Approved	05/07/2014
B	North Carolina	Agent	Approved	09/13/2018
B	Oregon	Agent	Approved	04/04/2024
B	Pennsylvania	Agent	Approved	08/21/2023
B	South Carolina	Agent	Approved	11/22/2017
B	Tennessee	Agent	Approved	02/13/2013

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/13/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	05/10/2013
B	Utah	Agent	Approved	06/17/2026
B	Virginia	Agent	Approved	02/13/2013
B	Washington	Agent	Approved	02/13/2013
B	West Virginia	Agent	Approved	06/15/2023
B	Wyoming	Agent	Approved	04/12/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
4266 I-55 North, Suite 200
JACKSON, MS 39211

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	03/18/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/1999

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
B	10/06/2004 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	JACKSON, MS
IA	10/06/2004 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	JACKSON, MS
IA	09/19/2002 - 10/14/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	JACKSON, MS
B	03/19/1999 - 10/14/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ

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
02/2013 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	JACKSON, MS, 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: The Catholic Foundation of the Diocese of Jackson, MS Inc Address: 237 East Amite, jackson, MS, 39201, United States Activity Type: Non profit Position/Title: Officer - Vice President, Board Member, Finance/Investment Committee Member, Executive Member Investment Related: Yes Start Date: 07/01/2011 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: to help oversee the operation of The Catholic Foundation of Jackson,MS

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:	NASD N/K/A FINRA
Sanction(s) Sought:	
Date Initiated:	10/16/2006
Docket/Case Number:	E102004083702
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Mutual Fund
Allegations:	NASD RULES 2110, 3110: RESPONDENT MADE ENTRIES IN HIS MEMBER FIRM'S ELECTRONIC ORDER ENTRY SYSTEM WHICH FALSELY REPRESENTED THAT CERTAIN CUSTOMERS WERE DISABLED, WHEN, IN FACT, THEY WERE NOT. THEREFORE, HE IMPROPERLY OBTAINED CONTINGENT DEFERRED SALES CHARGE (CDSC) WAIVERS FOR MUTUAL FUND REDEMPTION TRANSACTIONS EFFECTED FOR THESE CUSTOMERS. HIS MISCONDUCT RESULTED IN SOME CUSTOMERS RECEIVING CDSC WAIVERS TO WHICH THEY WERE NOT ENTITLED AND IN MOST INSTANCES DEPRIVED MUTUAL FUND DISTRIBUTORS OF FEES WHICH THEY WERE DUE. BY HIS ACTION, HE ALSO CAUSED THE BOOKS AND RECORDS OF HIS MEMBER FIRM RELATING TO THE MUTUAL FUND REDEMPTION TRANSACTIONS TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING THE DISABILITY STATUS OF THE CUSTOMERS AND THEIR ENTITLEMENT TO A CDSC WAIVER.
Current Status:	Final

Resolution:	Decision
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:	09/15/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: PAY $1,972.40 IN COSTS
Regulator Statement	HEARING PANEL DECISION RENDERED JULY 13, 2007, WHEREIN RESPONDENT CORRERO IS FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE YEAR AND REQUIRED TO REQUALIFY BY EXAMINATION BEFORE AGAIN SERVING IN ANY REGISTERED CAPACITY. IN ADDITION, RESPONDENT CORRERO IS ORDERED TO PAY $1,972.40 IN COSTS. HEARING PANEL DECISION APPEALED TO THE NAC AUGUST 3, 2007. NAC DECISION RENDERED AUGUST 12, 2008, WHEREIN HEARING PANEL'S DECISION WAS AFFIRMED AND SANCTIONS MODIFIED. RESPONDENT CAUSED MEMBER FIRM'S BOOKS AND RECORDS TO CONTAIN INACCURATE INFORMATION ABOUT CERTIN CUSTOMERS SELLING CLASS B AND C MUTUAL FUND SHARES BY ENTERING SALES CHARGE WAIVERS FOR THOSE CUSTOMERS BY ERRONEOUSLY REPRESENTING THAT THEY WERE DISABLED. THE ONE YEAR SUSPENSION IN ALL CAPACITIES WAS ELIMINATED AND REQUIREMENT TO REQUALIFY; NAC IMPOSES A $7,110 FINE AND 90 DAYS SUSPENSION IN ALL CAPACITIES AND ORDERS TO PAY $1,972.40 IN COSTS.THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM OCTOBER 6, 2008, THROUGH DECEMBER 29, 2008. DECISION IS FINAL SEPTEMBER 15, 2008. FINES PAID ON SEPTEMBER 26, 2008.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD N/K/A FINRA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/16/2006
Docket/Case Number:	E102004083702
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	NASD RULES 2110, 3110: RESPONDENT MADE ENTRIES IN HIS MEMBER FIRM'S ELECTRONIC ORDER ENTRY SYSTEM WHICH FALSELY REPRESENTED THAT CERTAIN CUSTOMERS WERE DISABLED, WHEN, IN FACT, THEY WERE NOT. THEREFORE, HE IMPROPERLY OBTAINED CONTINGENT DEFERRED SALES CHARGE (CDSC) WAIVERS FOR MUTUAL

	FUND REDEMPTION TRANSACTIONS EFFECTED FOR THESE CUSTOMERS. HIS MISCONDUCT RESULTED IN SOME CUSTOMERS RECEIVING CDSC WAIVERS TO WHICH THEY WERE NOT ENTITLED AND IN MOST INSTANCES DEPRIVED MUTUAL FUND DISTRIBUTORS OF FEES WHICH THEY WERE DUE. BY HIS ACTION, HE ALSO CAUSED THE BOOKS AND RECORDS OF HIS MEMBER FIRM RELATING TO THE MUTUAL FUND REDEMPTION TRANSACTIONS TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING THE DISABILITY STATUS OF THE CUSTOMERS AND THEIR ENTITLEMENT TO A CDSC WAIVER.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/15/2008
Sanctions Ordered:	Monetary/Fine $7,110.00 Suspension
Other Sanctions Ordered:	PAY $1,972.40 IN COSTS
Sanction Details:	NAC DECISION RENDERED AUGUST 12, 2008, WHEREIN HEARING PANEL'S DECISION WAS AFFIRMED AND SANCTIONS MODIFIED. RESPONDENT CAUSED MEMBER FIRM'S BOOKS AND RECORDS TO CONTAIN INACCURATE INFORMATION ABOUT CERTIN CUSTOMERS SELLING CLASS B AND C MUTUAL FUND SHARES BY ENTERING SALES CHARGE WAIVERS FOR THOSE CUSTOMERS BY ERRONEOUSLY REPRESENTING THAT THEY WERE DISABLED. THE ONE YEAR SUSPENSION IN ALL CAPACITIES WAS ELIMINATED AND REQUIREMENT TO REQUALIFY; NAC IMPOSES A $7,110 FINE AND 90 DAYS SUSPENSION IN ALL CAPACITIES AND ORDERS TO PAY $1,972.40 IN COSTS.THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM OCTOBER 6, 2008, THROUGHT DECEMBER 29, 2008. DECISION IS FINAL SEPTEMBER 15, 2008.
Broker Statement	HEARING PANEL DECISION RENDERED JULY 13, 2007, WHEREIN RESPONDENT CORRERO IS FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE YEAR AND REQUIRED TO REQUALIFY BY EXAMINATION BEFORE AGAIN SERVING IN ANY REGISTERED CAPACITY. IN ADDITION, RESPONDENT CORRERO IS ORDERED TO PAY $1,972.40 IN COSTS. HEARING PANEL DECISION APPEALED TO THE NAC AUGUST 3, 2007.

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:	Individual
Firm Name:	UBS FINANCIAL SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	09/22/2004
Allegations:	IT WAS ALLEGED THAT MR. CORRERO ENTERED MUTUAL FUND SALES ORDERS FOR SEVERAL CLIENTS WITH INACCURATE INFORMATION ABOUT THE CLIENTS' ELIGIBILITY FOR DISABILITY WAIVERS OF CONTINGENT DEFERRED SALES CHARGES DUE ON THE SALE OF THE MUTUAL FUNDS.
Product Type:	Mutual Fund(s)
Other Product Types:	

End of Report

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