



IAPD Report

JASON MICHAEL SHELL

CRD# 3248179

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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

JASON MICHAEL SHELL (CRD# 3248179)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/24/2008
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

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
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL	08/11/2008 - 01/02/2009
IA	C. F. PARKS & CO., INC.	109843	SALISBURY, NC	06/13/2005 - 08/01/2008
B	COMMONWEALTH FINANCIAL NETWORK	8032	SALISBURY, NC	04/07/2005 - 07/23/2008

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
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 **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
	FINRA	General Securities Representative	Approved	07/24/2008
	Alabama	Agent	Approved	10/01/2021
	Arizona	Agent	Approved	12/02/2022
	Colorado	Agent	Approved	03/24/2026
	Florida	Agent	Approved	08/05/2008
	Indiana	Agent	Approved	06/12/2023
	Kentucky	Agent	Approved	06/23/2025
	New Mexico	Agent	Approved	09/17/2008
	North Carolina	Agent	Approved	07/24/2008
	Ohio	Agent	Approved	07/19/2010
	South Carolina	Agent	Approved	01/14/2010
	Virginia	Agent	Approved	04/22/2010

Branch Office Locations



Qualifications

RAYMOND JAMES FINANCIAL SERVICES

430 JAKE ALEXANDER BLVD. WEST

SALISBURY, NC 28147

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	North Carolina	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

16315-A NORTHCROSS DRIVE

HUNTERSVILLE, NC 28078



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/16/1999

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/25/2000
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/1999



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	08/11/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ST. PETERSBURG, FL
IA	06/13/2005 - 08/01/2008	C. F. PARKS & CO., INC.	CRD# 109843	SALISBURY, NC
B	04/07/2005 - 07/23/2008	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	SALISBURY, NC
IA	07/29/2003 - 03/16/2005	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SALISBURY, NC
B	07/24/2003 - 03/16/2005	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	ST. LOUIS, MO
B	09/27/1999 - 07/28/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	SALISBURY, NC, United States
07/2008 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	HUNTERSVILLE, NC, 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: Mag, Oak & Fin Address: 176 Anson Dr, China Grove, NC, 28023, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 07/01/2026 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Co-owner with join oversight of all business activities.

(2) Name of Business: RT Property Management, LLC Address: 176 Anson Dr, China Grove, NC, 28023, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/29/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Managing Member of a Single Member LLC to hold rental real estate

(3) Name of Business: Shell Wealth Management, Inc. Address: 430 Jake Alexander Blvd. W Salisbury, NC 28147, Salisbury, NC, 28147, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 09/11/2008 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: RJFS Support Company



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
Termination	1

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:	WACHOVIA SECURITIES FINANCIAL NETWORK
Termination Type:	Discharged
Termination Date:	02/14/2005
Allegations:	VIOLATED FIRM POLICY BY SIGNING BRANCH MANAGERS NAME TO A WITHDRAWAL REQUEST FORM FOR HIS OWN PERSONAL ACCOUNT
Product Type:	Other
Other Product Types:	WITHDRAWAL REQUEST
Broker Statement	EXPLANATION OF U-5 TERMINATION

ON JANUARY 6TH 2005 I SENT AN E-MAIL TO WACHOVIA FINANCIAL NETWORKS, LLC TO HAVE A CHECK FOR \$420 OVERNIGHTED OUT OF MY PERSONAL BROKERAGE ACCOUNT. EVEN THOUGH THIS WAS MY PERSONAL ACCOUNT, I WAS INSTRUCTED TO TYPE A LETTER OF AUTHORIZATION AND FAX IT IN TO FINET APPROVAL AND ALSO TO HAVE THE BRANCH MANAGER SIGN THE LETTER OF AUTHORIZATION. MY BRANCH MANAGER WAS ON HIS BOAT OFFSHORE IN MANTEO, NC. I CALLED HIM ON HIS CELL PHONE TO SEE IF I COULD FAX THE LETTER TO HIM FOR HIS SIGNATURE. HE DID NOT HAVE A FAX MACHINE AND INSTRUCTED ME TO GO AHEAD AND SIGN HIS NAME AND FAX IT IN, SINCE IT WAS MY PERSONAL ACCOUNT. I SIGNED HIS NAME AND FAXED THE LETTER TO WACHOVIA FINET APPROVAL. AFTER DETERMINING THIS WASN'T HIS SIGNATURE, THEY BEGAN AN INVESTIGATION OF THE OFFICE. I WAS TOLD THAT I SHOULD HAVE PUT AFTER HIS SIGNATURE "SIGNED BY JASON SHELL WITH PERMISSION". THEY TERMINATED MY LICENSE WITH THE LANGUAGE, "FA VIOLATED FIRM POLICY BY SIGNING THE BRANCH MANAGER'S NAME TO A DOCUMENT." I WAS TOLD THAT AS A LICENSED



REP I WAS TO BE HELD AT A HIGHER LEVEL OF RESPONSIBILITY AND I SHOULD HAVE KNOWN NOT TO SIGN THE BRANCH MANAGER'S NAME EVEN WITH PERMISSION. I HAVE NOT AND WOULD NEVER SIGN MY BRANCH MANAGER'S NAME FOR ANY CLIENT; THIS WAS FOR MY OWN PERSONAL ACCOUNT. HAD I BEEN INSTRUCTED TO SIGN MY NAME WITH PERMISSION I WOULD HAVE DONE SO. I DO UNDERSTAND AND TAKE VERY SERIOUSLY MY RESPONSIBILITY AS A REGISTERED REPRESENTATIVE. THANK YOU FOR YOUR CONSIDERATION.



End of Report

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