



IAPD Report

Robert G Fogarty

CRD# 4130324

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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

Robert G Fogarty (CRD# 4130324)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	06/18/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	06/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SALEM, OR	11/28/2022 - 07/11/2025
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SALEM, OR	11/08/2022 - 07/11/2025
B	EDWARD JONES	250	BEAVERTON, OR	08/13/2022 - 09/23/2022

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 **1** jurisdiction(s) and **1** SRO(s) through his or her employer(s).

Employment 1 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 Oregon	Investment Adviser Representative	Approved	06/20/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
645 9th Street NW
Suite 185
Salem, OR 97304

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
3450 Commercial St SE
Salem, OR 97302

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
5120 River Road N
Keizer, OR 97303

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
2500 Santiam Hwy SE
Albany, OR 97322

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
777 NW Kings Blvd
Corvallis, OR 97330

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
60 Division Ave
Eugene, OR 97404

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
650 Q St
Springfield, OR 97477

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
207 COBURG ROAD SUITE 101
EUGENE, OR 97401

Employment 2 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	06/18/2025
B Oregon	Agent	Approved	06/18/2025



Qualifications

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
645 9th Street NW
Suite 185
Salem, OR 97304

RAYMOND JAMES FINANCIAL SERVICES
777 NW Kings Blvd
Corvallis, OR 97330

RAYMOND JAMES FINANCIAL SERVICES
2500 Santiam Hwy SE
Albany, OR 97322

RAYMOND JAMES FINANCIAL SERVICES
5120 River Road N
Keizer, OR 97303

RAYMOND JAMES FINANCIAL SERVICES
3450 Commercial St SE
Salem, OR 97302

RAYMOND JAMES FINANCIAL SERVICES
207 COBURG ROAD
SUITE 101
EUGENE, OR 97401



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, 4 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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	General Securities Representative Examination (S7TO)	Series 7TO	08/12/2022
	Securities Industry Essentials Examination (SIE)	SIE	12/01/2017
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/17/2016
	General Securities Representative Examination (S7)	Series 7	03/01/2000

State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	11/14/2022
		Uniform Securities Agent State Law Examination (S63)	Series 63	11/30/2016

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
IA	11/28/2022 - 07/11/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SALEM, OR
B	11/08/2022 - 07/11/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SALEM, OR
B	08/13/2022 - 09/23/2022	EDWARD JONES	CRD# 250	BEAVERTON, OR
B	01/02/2019 - 04/23/2019	NYLIFE SECURITIES LLC	CRD# 5167	PORTLAND, OR
B	09/29/2017 - 12/01/2017	FORESTERS FINANCIAL SERVICES, INC.	CRD# 305	BEAVERTON, OR
B	11/22/2016 - 08/30/2017	J.P. MORGAN SECURITIES LLC	CRD# 79	WEST LINN, OR
B	01/03/2006 - 03/04/2008	KEY INVESTMENT SERVICES LLC	CRD# 136300	SALEM, OR
IA	01/03/2006 - 03/04/2008	KEY INVESTMENT SERVICES LLC	CRD# 136300	SALEM, OR
IA	07/08/2004 - 12/31/2005	MCDONALD INVESTMENTS INC.	CRD# 566	SALEM, OR
B	02/26/2004 - 12/31/2005	MCDONALD INVESTMENTS INC.	CRD# 566	SALEM, OR
B	01/03/2002 - 02/27/2004	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	10/03/2001 - 01/17/2002	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	03/02/2000 - 10/03/2001	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA

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
06/2025 - Present	OnPoint Community Credit Union	Bank Associate	Y	Salem, OR, United States
06/2025 - Present	OnPoint Investment Services	Advisor; DBA/Support Co.	N	Salem, OR, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2025 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Salem, OR, United States
06/2025 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Salem, OR, United States
11/2022 - 06/2025	Bank of America N.A.	Financial Solutions Advisor Stage I - Registration candidate	Y	Salem, OR, United States
09/2022 - 06/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Solutions Advisor Stage I - Registration candidate	Y	Salem, OR, United States
07/2020 - 09/2022	Edward Jones	BOA	Y	St Louis, MO, United States
04/2020 - 07/2020	Unemployed/Laid Off	Unemployed	N	Portland, OR, United States
11/2019 - 03/2020	Percasso Coffee	Account Manager	N	Portland, OR, United States
04/2019 - 11/2019	England Logistics	Account Manager	N	Portland, OR, United States
12/2018 - 04/2019	NYLIFE SECURITIES LLC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
11/2018 - 04/2019	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	PORTLAND, OR, United States
10/2009 - 12/2018	Trillium Family Services	Volunteer / Foundation Board Member	N	Portland, OR, United States
12/2017 - 10/2018	COUNTRY FINANCIAL	FINANCIAL REPRESENTATIVE	N	CLACKAMAS, OR, United States
08/2017 - 12/2017	Foresters Financial	Agent	N	Beaverton, OR, United States
10/2016 - 08/2017	JP Morgan Securities LLC	Licensed Banker	Y	West Linn, OR, United States
10/2016 - 08/2017	JPMorgan Chase Bank	Private Client Banker	Y	West Linn, OR, United States
10/2009 - 10/2016	Kobos Coffee / Groundwork Coffee	Sales Manager	N	Portland, OR, United States



Registration & Employment History



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. OnPoint Investment Services

Non-Investment Related

Salem, Oregon

DBA/Support Company

Advisor

Started: 6/23/2023

0 hrs per month

0 hrs during trading hrs

2. OnPoint Community Credit Union

Investment Related

Salem, Oregon

Bank/Financial Institution

Bank Associate

Started: 06/23/2025

160 hrs per month.

160 hrs during trading hrs.



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:	Firm
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	ALLEGES THAT IT WAS NOT SUITABLE TO MOVE HIM FROM ANNUITIES THAT WERE FREE OF CDSC FEES AND LOCK INTO NEW CDSC FEES WITH NEW ANNUITIES
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	\$8,201.70

Customer Complaint Information

Date Complaint Received:	08/29/2006
Complaint Pending?	No
Status:	Settled
Status Date:	03/20/2007
Settlement Amount:	\$21,368.66
Individual Contribution Amount:	\$0.00
Firm Statement	TWO SETTLEMENTS FOR 2 CDSC FEES OF \$8,201.70 AND \$13,166.96.

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: ALLEGES THAT IT WAS NOT SUITABLE TO MOVE HIM FROM ANNUITIES THAT WERE FREE OF CDSC FEES AND LOCK INTO NEW CDSC FEES WITH NEW ANNUITIES

Product Type: Annuity-Fixed

Alleged Damages: \$8,201.70

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/29/2006

Complaint Pending? No

Status: Settled

Status Date: 03/20/2007

Settlement Amount: \$21,368.66

Individual Contribution Amount: \$0.00

Broker Statement TWO SETTLEMENTS FOR 2 CDSC FEES OF \$8,201.70 AND \$13,166.96.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES SHE IS UNHAPPY WITH THE MUNICIPAL BOND FUND PURCHASE IN SEPTEMBER OF 2003.

Product Type: Other

Other Product Type(s): MUNICIPAL BOND

Alleged Damages: \$12,679.96

Customer Complaint Information

Date Complaint Received: 05/10/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/08/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement OUR INVESTIGATION DID INOT REVEAL ANY WRONG DOING ON THE PART



OF THE REGISTERED REP. SENT LETTER CLARIFYING ISSUE.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGES SHE IS UNHAPPY WITH THE MUNICIPAL BOND FUND PURCHASE IN SEPTEMBER OF 2003.

Product Type: Other

Other Product Type(s): MUNICIPAL BOND

Alleged Damages: \$12,679.96

Customer Complaint Information

Date Complaint Received: 05/10/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/08/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement WM FINANCIAL SVCS - THROUGH THEIR INVESTIGATION DID NOT FIND ANY WRONG DOING ON THE PART OF THE REP, SENT LETTER CLARIFYING ISSUE.



End of Report

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