



## IAPD Report

# Stacey Lynn Mullin

CRD# 4238682

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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

### Stacey Lynn Mullin (CRD# 4238682)

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 **11/01/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONCURRENT INVESTMENT ADVISORS, LLC	CRD# 323135	10/01/2024
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	11/01/2024

### 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SAINT PETERSBURG, FL	05/10/2019 - 07/30/2024
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	05/09/2019 - 07/30/2024
B	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	05/08/2019 - 07/30/2024

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?

**No**




## 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: **PURSHE KAPLAN STERLING INVESTMENTS**  
Main Address: 80 STATE STREET  
ALBANY, NY 12207  
Firm ID#: 35747


	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	11/01/2024
	FINRA	General Securities Representative	Approved	11/01/2024
	FINRA	Invest. Co and Variable Contracts	Approved	11/01/2024
	FINRA	Investment Co./Variable Contracts Prin	Approved	11/01/2024
	Florida	Agent	Approved	11/01/2024

### Branch Office Locations

100 S. Ashley Drive  
Suite 830  
Tampa, FL 33602

### Employment 2 of 2

Firm Name: **CONCURRENT INVESTMENT ADVISORS, LLC**  
Main Address: 100 S. ASHLEY DRIVE  
SUITE 830  
TAMPA, FL 33602  
Firm ID#: 323135

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	10/01/2024



## Qualifications

### Branch Office Locations

**CONCURRENT INVESTMENT ADVISORS, LLC**  
100 S. ASHLEY DRIVE  
SUITE 830  
TAMPA, FL 33602





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	08/03/2007
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/25/2006

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/19/2007
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/01/2000

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	04/21/2010

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## 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	05/10/2019 - 07/30/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SAINT PETERSBURG, F
IA	05/09/2019 - 07/30/2024	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	05/08/2019 - 07/30/2024	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	05/08/2019 - 07/30/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST PETERSBURG, FL
IA	01/27/2017 - 04/23/2019	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	St. Petersburg, FL
B	01/18/2017 - 04/23/2019	TRANSAMERICA INVESTORS SECURITIES CORPORATION	CRD# 32205	ST. PETERSBURG, FL
IA	06/30/2014 - 01/17/2017	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	ST PETERSBURG, FL
B	06/06/2014 - 01/17/2017	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	ST PETERSBURG, FL
IA	02/28/2013 - 12/19/2013	NATIONWIDE SECURITIES, LLC	CRD# 11173	PARRISH, FL
B	01/03/2013 - 12/17/2013	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	05/06/2008 - 03/06/2013	NATIONWIDE SECURITIES, LLC	CRD# 11173	DUBLIN, OH
B	12/20/2006 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	09/05/2000 - 12/20/2006	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	DUBLIN, OH

### 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
11/2024 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2024 - Present	CONCURRENT INVESTMENT ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TAMPA, FL, United States
07/2024 - 09/2024	Unemployed	NA	N	Bradenton, FL, United States
04/2019 - 07/2024	RAYMOND JAMES & ASSOCIATES, INC	REGISTERED REPRESENTATIVE	Y	ST PETERSBURG, FL, United States
04/2019 - 07/2024	RAYMOND JAMES FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	ST PETERSBURG, FL, United States
04/2019 - 07/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS	REGISTERED REPRESENTATIVE	Y	ST PETERSBURG, FL, United States
01/2017 - 04/2019	Transamerica Investors Securities Corporation	Registered Rep	Y	St. Petersburg, FL, United States
01/2017 - 04/2019	Transamerica Retirement Solutions	Mgr. Product Specialists	Y	St. Petersburg, FL, United States
06/2014 - 01/2017	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	ST PETERSBURG, FL, 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) Concurrent Investment Advisors, LLC. Investment-related. At registered location. RIA. Compliance Associate Director. 9/2024. 160 hrs/month. 160/hrs during securities hrs. Compliance review.

2) MC Lax Inc. Not investment-related. 14619 Sundial Pl, Lakewood Ranch, FL 34202. Charitable/non-profit organization. Board Member. 3/2022. 5 hrs/month. 0 hrs during securities hrs. Director of non-profit board created to grow the sport of lacrosse within Manatee County.



## End of Report

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