



IAPD Report

JAMES SCOTT HUNTER

CRD# 4255486

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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

JAMES SCOTT HUNTER (CRD# 4255486)

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 **12/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/25/2003
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	MOBILE, AL	10/07/2003 - 01/02/2009
IA	PAN-AMERICAN INVESTMENT ADVISERS, INC.	111107	MOBILE, AL	08/23/2002 - 09/29/2003
B	PAN-AMERICAN FINANCIAL ADVISERS	15578	NEW ORLEANS, LA	10/23/2001 - 09/29/2003

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	3



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 **50** 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	09/25/2003
	FINRA	General Securities Principal	Approved	06/07/2007
	Alabama	Agent	Approved	09/25/2003
	Alaska	Agent	Approved	07/10/2024
	Arizona	Agent	Approved	07/16/2008
	Arkansas	Agent	Approved	06/09/2008
	California	Agent	Approved	03/29/2005
	Colorado	Agent	Approved	09/05/2008
	Connecticut	Agent	Approved	08/02/2018
	Delaware	Agent	Approved	07/17/2024
	District of Columbia	Agent	Approved	08/20/2010
	Florida	Agent	Approved	09/25/2003
	Georgia	Agent	Approved	09/25/2003



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	11/08/2018
B	Idaho	Agent	Approved	07/08/2024
B	Indiana	Agent	Approved	07/13/2009
B	Iowa	Agent	Approved	07/16/2024
B	Kansas	Agent	Approved	11/02/2021
B	Kentucky	Agent	Approved	07/03/2018
B	Louisiana	Agent	Approved	09/11/2007
B	Maine	Agent	Approved	07/03/2018
B	Maryland	Agent	Approved	10/24/2006
B	Massachusetts	Agent	Approved	07/17/2018
B	Michigan	Agent	Approved	01/05/2021
B	Minnesota	Agent	Approved	07/10/2024
B	Mississippi	Agent	Approved	09/25/2003
B	Missouri	Agent	Approved	07/08/2024
B	Montana	Agent	Approved	07/09/2024
B	Nevada	Agent	Approved	03/26/2008
B	New Hampshire	Agent	Approved	07/10/2024
B	New Jersey	Agent	Approved	01/11/2013
B	New Mexico	Agent	Approved	04/05/2012



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	10/17/2007
B North Carolina	Agent	Approved	07/25/2011
B North Dakota	Agent	Approved	07/15/2024
B Ohio	Agent	Approved	05/06/2008
B Oklahoma	Agent	Approved	07/08/2024
B Oregon	Agent	Approved	01/05/2015
B Pennsylvania	Agent	Approved	07/09/2024
B Rhode Island	Agent	Approved	07/10/2018
B South Carolina	Agent	Approved	01/07/2008
B South Dakota	Agent	Approved	07/08/2024
B Tennessee	Agent	Approved	05/22/2007
B Texas	Agent	Approved	07/31/2007
B Utah	Agent	Approved	07/08/2024
B Vermont	Agent	Approved	07/19/2018
B Virgin Islands	Agent	Approved	07/09/2024
B Virginia	Agent	Approved	04/12/2005
B Washington	Agent	Approved	07/18/2018
B West Virginia	Agent	Approved	07/15/2024
B Wisconsin	Agent	Approved	09/19/2023



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	07/22/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
955 DAUPHIN ST.
MOBILE, AL 36604

RAYMOND JAMES FINANCIAL SERVICES
9786 TIMBER CIRCLE
SPANISH FORT, AL 36527

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 Alabama	Investment Adviser Representative	Approved	01/02/2009
IA Mississippi	Investment Adviser Representative	Approved	05/18/2015
IA Texas	Investment Adviser Representative	Restricted Approval	01/24/2019

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
955 DAUPHIN STREET
MOBILE, AL 36604



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	06/05/2007

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	09/12/2000

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/19/2000



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	10/07/2003 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	MOBILE, AL
IA	08/23/2002 - 09/29/2003	PAN-AMERICAN INVESTMENT ADVISERS, INC.	CRD# 111107	MOBILE, AL
B	10/23/2001 - 09/29/2003	PAN-AMERICAN FINANCIAL ADVISERS	CRD# 15578	NEW ORLEANS, LA
B	09/13/2000 - 10/25/2001	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
08/2021 - Present	Raymond James/Gulf Coast Group	Independent Contractor	N	Mobile, AL, United States
11/2018 - Present	Scott Hunter Investments	Other	N	Mobile, AL, United States
01/2016 - Present	COMMONWEALTH NATIONAL BANK	BANK/CREDIT UNION ASSOCIATE	N	MOBILE, AL, United States
09/2011 - Present	RADIO FOOTBALL TALK SHOW	GUEST HOST	N	PENSACOLA, FL, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	MOBILE, AL, United States
04/2007 - Present	SPORTS RADIO TALK SHOW Talking Football	Other	N	MOBILE, AL, United States
09/2003 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	MOBILE, AL, United States
08/2016 - 08/2025	TALKIN' FOOTBALL	RADIO TALK SHOW HOST	N	MOBILE, AL, United States
03/2015 - 09/2022	COMMONWEALTH NATIONAL BANK HOLDING COMPANY BRD of Dirc.	DIRECTOR	N	MOBILE, AL, 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)Name of Business: Raymond James/Gulf Coast Group Address: 955 Dauphin St., Mobile, AL, 36604, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date: 08/01/2021 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Branch Manager

(2)Name of Business: Scott Hunter Investments Address: 955 Dauphin Street, Mobile, AL, 36604, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 11/07/2018 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 the name for our business account used to pay bills.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	IN NOVEMBER 2007, THE [CUSTOMERS] PURCHASED \$100,000.00 IN JEFFERSON COUNTY SCHOOL WARRANTS. THEY WERE TOLD THE SECURITIES WERE A SAFE AND LIQUID ALTERNATIVE TO INSTRUMENTS SUCH AS BANK CERTIFICATES OF DEPOSIT. THE SECURITIES ARE NOW ILLIQUID AND THE [CUSTOMERS] ARE DEMANDING THAT WE REPURCHASE THE INVESTMENT.
Product Type:	Other: AUCTION RATE SECURITIES - MUNI DEBT
Alleged Damages:	\$750,000.00
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:	08/25/2008
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2011
Settlement Amount:	\$75,000.00



Individual Contribution Amount: \$0.00

Broker Statement AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT, AUCTION RATE SECURITIES WERE REPURCHASED BY THE FIRM WITHOUT CONTRIBUTION FROM THE FINANCIAL ADVISOR.

AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: ILLIQUIDITY OF ARS, SUITABILITY, MISREPRESENTATION, OMISSIONS, BREACH OF CONTRACTUAL AND REGULATORY DUTIES, VIOLATION OF SECTION 17(A) OF THE SECURITIES CT OF 1933, SECTIONS 10(B) AND 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5, BREACH OF FIDUCIARY DUTY, INTENTIONAL AND NEGLIGENT MISREPRESENTATION, FAILURE TO TRAIN AND SUPERVISE, MARKET MANIPULATION, AND FRAUD

Product Type: Other: AUCTION RATE SECURITIES - CLOSED END FUN

Alleged Damages: \$825,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01517

Filing date of arbitration/CFTC reparation or civil litigation: 04/25/2011

Customer Complaint Information

Date Complaint Received: 04/25/2011

Complaint Pending? No

Status: Settled

Status Date: 08/09/2011

Settlement Amount: \$825,000.00

Individual Contribution Amount: \$0.00

Broker Statement AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY



INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS
INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE
AS TO COVERAGE
AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT, AUCTION RATE
SECURITIES WERE REPURCHASED BY THE FIRM WITHOUT CONTRIBUTION
FROM THE FINANCIAL ADVISOR

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: MISREPRESENTATION

Product Type: Other: AUCTION RATE SECURITIES - CLOSED END FUN

Alleged Damages: \$450,000.00

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: 08/28/2008

Complaint Pending? No

Status: Settled

Status Date: 07/26/2011

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT AUCTION RATE
SECURITIES WERE REPURCHASED BY THE FIRM WITHOUT CONTRIBUTION
FROM THE FINANCIAL ADVISOR.

AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE
FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY
INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS
INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE
AS TO COVERAGE



End of Report

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