IAPD Report

Troy Jean Aucoin

CRD# 4491926

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

Troy Jean Aucoin (CRD# 4491926)

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 **03/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/18/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/18/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	COMMONWEALTH FINANCIAL NETWORK	8032	Baton Rouge, LA	06/16/2021 - 08/18/2025
IA	COMMONWEALTH FINANCIAL NETWORK	8032	Baton Rouge, LA	06/16/2021 - 08/18/2025
IA	EDWARD JONES	250	BATON ROUGE, LA	01/16/2007 - 06/17/2021

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

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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 **9** 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
B	FINRA	General Securities Representative	Approved	08/18/2025
B	Alabama	Agent	Approved	09/25/2025
B	Colorado	Agent	Approved	08/18/2025
B	Florida	Agent	Approved	08/18/2025
B	Louisiana	Agent	Approved	08/18/2025
B	Mississippi	Agent	Approved	08/18/2025
B	New Jersey	Agent	Approved	09/26/2025
B	New York	Agent	Approved	09/25/2025
B	Pennsylvania	Agent	Approved	09/24/2025
B	Texas	Agent	Approved	08/18/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
9026 Jefferson Highway
Suite 401
Baton Rouge, LA 70809

Employment 2 of 2

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Qualifications

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	Louisiana	Investment Adviser Representative	Approved	08/18/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	08/19/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
9026 Jefferson Hwy
Suite 401
Baton Rouge, LA 70809

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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	03/11/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/04/2015
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/15/2002

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.

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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	06/16/2021 - 08/18/2025	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	Baton Rouge, LA
IA	06/16/2021 - 08/18/2025	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	Baton Rouge, LA
IA	01/16/2007 - 06/17/2021	EDWARD JONES	CRD# 250	BATON ROUGE, LA
B	03/12/2002 - 06/17/2021	EDWARD JONES	CRD# 250	BATON ROUGE, LA

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
08/2025 - Present	Raymond James Financial Services Advisors Inc.	Investment Advisor Representative	Y	Baton Rouge, LA, United States
08/2025 - Present	Raymond James Financial Services Inc.	Registered Representative	Y	Baton Rouge, LA, United States
06/2021 - Present	Aucoin Wealth Management, LLC	Advisor	N	Baton Rouge, LA, United States
06/2021 - 08/2025	Commonwealth Financial Network	Registered Representative	Y	Waltham, MA, United States
01/2002 - 06/2021	EDWARD JONES	Registered Representative	Y	St Louis, MO, 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: TJALOGISTICS Address: 2917 LEXINGTON LAKES AVE, BATON ROUGE, LA, 70810, United States Activity Type: Business Owner Position/Title: Officer - President Investment Related: Yes Start Date: 12/01/2025 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: CREATOR AND FOUNDER OF COMPANY\nMAGANGE FINANCIAL RESPONSIBILITIES AS WELL AS BUSINESS DEVELOPMENT

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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.

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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:	COMMONWEALTH FINANCIAL NETWORK
Allegations:	Plaintiffs allege that advisor failed to pay premiums due on variable life insurance policy causing the policy to lapse even though Plaintiffs were receiving all the pre-lapse warnings from the insurance Company.
Product Type:	Insurance
Alleged Damages:	$500,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-01831
Filing date of arbitration/CFTC reparation or civil litigation:	06/26/2023

Customer Complaint Information

Date Complaint Received:	07/11/2023
Complaint Pending?	No

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Status:	Settled
Status Date:	04/22/2024
Settlement Amount:	$190,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	19 Judicial District Court
Location of Court:	Parish of East Baton Rouge
Docket/Case #:	C-72248923
Date Notice/Process Served:	08/26/2022
Litigation Pending?	No
Disposition:	Withdrawn
Disposition Date:	06/26/2023

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	2/02-2/09; CLIENT IS CONCERNED WITH THE LOSSES IN THE ACCOUNTS. CLIENT CLAIMS AT THE TIME OF THE ROLLOVER FROM CHEVRON AND CLIENT IRA THEY WERE NOT GIVEN OPTIONS OF OTHER TYPES OF INVESTMENTS AND WERE PUT 100% INTO HIGH RISK MUTUAL FUNDS. CLIENTS CLAIM THEY PAID HIGH COMMISSIONS AT THE TIME. CLIENTS ALSO CLAIM IF THEY HAD BEEN ABLE TO INVEST IN OTHER TYPES OF INVESTMENTS THEY MAY NOT HAVE HAD TO SELL SHARES OF THEIR EXXONMOBIL SHARES WHEN THEY NEEDED MONEY. CLIENT CLAIMS HE TRUSTED THE FA TO MAKE THE RIGHT INVESTMENT CHOICES AND HE IS SHOCKED WHEN HE SEES HIS STATEMENTS. CLIENTS CLAIM IF GIVEN A CHOICE OF OTHER INVESTMENTS THEY PROBABLY WOULD HAVE MADE SELECTIONS THAT MET THEIR CASH AND INVESTMENT NEEDS. CLIENT CLAIMS LOST APPROX. $83,224.00.
Product Type:	Mutual Fund
Alleged Damages:	$83,224.00
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:	02/04/2009
Complaint Pending?	No
Status:	Denied

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Status Date:	05/13/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	BASED ON OUR REVIEW, IT APPEARS THAT APPROPRIATE RECOMMENDATIONS WERE MADE FOR THE ACCOUNTS, WHICH WERE DIVERSIFIED IN A MANNER CONSISTENT WITH CLIENT'S STATED GOALS AND OBJECTIVES. REVIEWING CLIENT'S PORTFOLIO, WE WOULD NOT CHARACTERIZE CLIENT'S PORTFOLIO AS BEING EXPENSIVE OR HIGH RISK. GENERALLY, WHEN HELD FOR AN APPROPRIATE PERIOD OF TIME, INVESTING IN CLASS A MUTUAL FUNDS CAN LEAD TO A COST EFFECTIVE AND WELL DIVERSIFIED PORTFOLIO. IN CLIENT'S CASE, BY INVESTING AT LEAST $100,000 IN SEVERAL FUNDS WITHIN THE GOLDMAN SACHS MUTUAL FUND FAMILY, CLIENT WAS ABLE TO REDUCE SALES CHARGE SIGNIFICANTLY WHILE DIVERSIFYING HOLDINGS. WHILE WE UNDERSTAND CLIENT'S DISAPPOINTMENT CONCERNING THE RECENT DECLINE IN THE VALUE OF THE ACCOUNTS, WHEN VIEWED OVER A LARGER PERIOD OF TIME, CLIENT'S INVESTMENTS DID NOT SUFFER THE DEGREE OF DECLINE DESCRIBED IN E-MAIL. WE DO NOT BELIEVE IT IS PRUDENT TO JUDGE THE OVERALL PERFORMANCE OF THE ACCOUNTS ON A SHORT TERM BASIS.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	10/6/08; ORIGINALLY VERBAL COMPLAINT: THE CLIENT ALLEGES THEY REQUESTED ALL SUB-ACCOUNTS IN THEIR ANNUITY BE POSITIONED IN CASH BEFORE INITIATING A TRANSFER TO ANOTHER FINANCIAL ADVISOR. THE FA IS ALLEGED TO HAVE FAILED TO MAKE THE CHANGES WHICH RESULTED IN MARKET LOSS DURING THE TRANSFER PROCESS.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	10/14/2008
Complaint Pending?	No
Status:	Settled
Status Date:	12/11/2008
Settlement Amount:	$10,055.72
Individual Contribution Amount:	$0.00
Broker Statement	OUR REVIEW FOUND THAT THERE WAS A MISUNDERSTANDING REGARDING THE TRADE INSTRUCTIONS. WE ARE EXTENDING AN OFFER IN THE AMOUNT OF $10,055.72 WHICH REPRESENTS THE MARKET VALUE DIFFERENCE IN THE ANNUITY FROM 10/6/08 TO 10/10/08. THE SETTLEMENT OFFER WAS ACCEPTED.

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End of Report

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