



IAPD Report

MEGAN NINA WEAKLAND

CRD# 4678321

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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

MEGAN NINA WEAKLAND (CRD# 4678321)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/12/2016
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/12/2016

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** 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	WELLS FARGO ADVISORS, LLC	19616	LAKE OSWEGO, OR	03/29/2011 - 09/09/2016
B	WELLS FARGO ADVISORS, LLC	19616	LAKE OSWEGO, OR	07/21/2006 - 09/09/2016
B	PIPER JAFFRAY & CO.	665	LAKE OSWEGO, OR	11/09/2004 - 07/25/2006

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
Regulatory Event	2
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 **17** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/12/2016
B Investors' Exchange LLC	General Securities Representative	Approved	10/29/2025
B MEMX LLC	General Securities Representative	Approved	10/29/2025
B NYSE American LLC	General Securities Representative	Approved	08/12/2016
B NYSE Arca, Inc.	General Securities Representative	Approved	10/29/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/29/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/12/2016
B Nasdaq Stock Market	General Securities Representative	Approved	08/12/2016
B New York Stock Exchange	General Securities Representative	Approved	08/12/2016
B Arizona	Agent	Approved	08/18/2016
B California	Agent	Approved	08/18/2016
B Colorado	Agent	Approved	08/18/2016
B Florida	Agent	Approved	08/18/2016



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	02/19/2021
B Illinois	Agent	Approved	08/18/2016
B Indiana	Agent	Approved	03/04/2021
B Michigan	Agent	Approved	08/18/2016
B Montana	Agent	Approved	08/18/2016
B Nevada	Agent	Approved	08/18/2016
B New York	Agent	Approved	08/18/2016
B Oregon	Agent	Approved	08/12/2016
IA Oregon	Investment Adviser Representative	Approved	08/12/2016
B Pennsylvania	Agent	Approved	08/18/2016
B Texas	Agent	Approved	08/12/2016
IA Texas	Investment Adviser Representative	Approved	08/12/2016
B Utah	Agent	Approved	04/02/2020
B Virginia	Agent	Approved	06/26/2024
B Washington	Agent	Approved	08/18/2016

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
 5300 Meadows Road
 Suite 250
 LAKE OSWEGO, OR 97035-5294

RAYMOND JAMES & ASSOCIATES, INC.
 Tigard, OR



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/08/2004
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/28/2011
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/15/2004
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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	03/29/2011 - 09/09/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAKE OSWEGO, OR
B	07/21/2006 - 09/09/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAKE OSWEGO, OR
B	11/09/2004 - 07/25/2006	PIPER JAFFRAY & CO.	CRD# 665	LAKE OSWEGO, OR

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
08/2016 - Present	Raymond James & Associates, Inc.	Registered Associate	Y	Portland, OR, United States
05/2009 - 08/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	LAKE OSWEGO, OR, 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.

No information reported.



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
Regulatory Event	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Oregon Division of Financial Regulation
Sanction(s) Sought:	Cease and Desist Denial
Date Initiated:	03/19/2019
Docket/Case Number:	S-19-0030
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors, LLC
Product Type:	No Product
Allegations:	Used supervisor's password to sign his name to documents evidencing his review and approval of firm/client documents he had not reviewed/approved.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	06/13/2019



Sanctions Ordered: Cease and Desist
Denial

Reporting Source: Individual
Regulatory Action Initiated By: Oregon Division of Financial Regulation

Sanction(s) Sought: Cease and Desist
Denial

Date Initiated: 03/19/2019

Docket/Case Number: S-19-0030

Employing firm when activity occurred which led to the regulatory action: Wells Fargo Advisors, LLC

Product Type: No Product

Allegations: Used supervisor's password to sign his name to documents evidencing his review and approval of firm/client documents he had not reviewed/approved.

Current Status: Final

Resolution: Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 06/13/2019

Sanctions Ordered: Cease and Desist
Denial

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 01/02/2019

Docket/Case Number: 2016051302001

Employing firm when activity occurred which led to the regulatory action: Wells Fargo Advisors, Inc.

Product Type: No Product

Allegations: Without admitting or denying the findings, Weakland consented to the sanctions and to the entry of findings that she falsified her member firm's documents when she shared a common password with a registered financial advisor (the "FA") for



whom she worked. The findings stated that Weakland, with the FA's authorization, used the common password to log into the FA's system worklist to evidence the FA's approval of new accounts by affixing his electronic signature when, in fact, the FA had neither seen nor reviewed the account documents for those accounts. The findings also stated that by virtue of the foregoing, Weakland caused the firm to create and maintain inaccurate books and records. The new account approvals that Weakland made were books and records of the firm and these books and records were inaccurate because the signatures evidencing the FA's review and approval were not genuine and because the documents represented that, the FA had reviewed and approved the documents, which was not true.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

01/02/2019

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	two months
Start Date:	02/04/2019
End Date:	04/03/2019

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/16/2019
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement** Fines paid in full on January 16, 2019.
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 01/02/2019**Docket/Case Number:** 2016051302001**Employing firm when activity occurred which led to the regulatory action:** Wells Fargo Advisors, Inc.**Product Type:** No Product**Allegations:** Without admitting or denying the findings, Weakland consented to the sanctions and to the entry of findings that she falsified her member firm's documents when she shared a common password with a registered financial advisor (the "FA") for whom she worked. The findings stated that Weakland, with the FA's authorization, used the common password to log into the FA's system worklist to evidence the FA's approval of new accounts by affixing his electronic signature when, in fact, the FA had neither seen nor reviewed the account documents for those accounts. The findings also stated that by virtue of the foregoing, Weakland caused the firm to create and maintain inaccurate books and records. The new account approvals that Weakland made were books and records of the firm and these books and records were inaccurate because the signatures evidencing the FA's review and approval were not genuine and because the documents represented that, the FA had reviewed and approved the documents, which was not true.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 01/02/2019**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** All Capacities**Duration:** 2 Months**Start Date:** 02/04/2019**End Date:** 04/03/2019**Monetary Sanction 1 of 1**



Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/16/2019
Was any portion of penalty waived?	No
Amount Waived:	



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: Firm

Firm Name: Wells Fargo Advisors, LLC

Termination Type: Voluntary Resignation

Termination Date: 08/12/2016

Allegations: Ms. Weakland voluntarily resigned from Wells Fargo Advisors during the Firm's review of issues involving accessing the Firm's systems under the user name and password of another team member, and performing account-related tasks under the user name and password of the other team member.

Product Type: No Product

Reporting Source: Individual

Firm Name: Wells Fargo Advisors, LLC

Termination Type: Voluntary Resignation

Termination Date: 08/12/2016

Allegations: Ms. Weakland voluntarily resigned from Wells Fargo Advisors during the Firm's review of issues involving accessing the Firm's systems under the user name and password of another team member, and performing account-related tasks under the user name and password of the other team member.

Product Type: No Product

Broker Statement I was never notified that I was under any internal review when I made my decision to voluntarily resign and deny the internal review assertions are related to my resignation. Further, I do not believe actions taken by me violated Firm policies.



End of Report

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