IAPD Report

JEFFREY BRUCE SOLOMON

CRD# 4712085

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

JEFFREY BRUCE SOLOMON (CRD# 4712085)

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 **06/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	06/02/2014
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	06/03/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	EDWARD JONES	250	SALT LAKE CITY, UT	02/09/2007 - 06/03/2014
B	EDWARD JONES	250	SALT LAKE CITY, UT	11/26/2003 - 06/03/2014

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	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 **28** 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	06/02/2014
B	FINRA	General Securities Sales Supervisor	Approved	11/17/2014
B	Alaska	Agent	Approved	05/29/2024
B	Arizona	Agent	Approved	06/02/2014
B	Arkansas	Agent	Approved	04/23/2018
B	California	Agent	Approved	06/12/2014
B	Colorado	Agent	Approved	06/21/2021
B	Connecticut	Agent	Approved	03/31/2026
B	Florida	Agent	Approved	10/26/2023
B	Georgia	Agent	Approved	01/16/2015
B	Idaho	Agent	Approved	10/18/2021
B	Illinois	Agent	Approved	09/16/2020
B	Kentucky	Agent	Approved	09/30/2025

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	05/19/2022
B	Massachusetts	Agent	Approved	06/02/2014
B	Minnesota	Agent	Approved	08/05/2025
B	Montana	Agent	Approved	06/10/2014
B	Nevada	Agent	Approved	12/04/2018
B	New Jersey	Agent	Approved	03/13/2024
B	New York	Agent	Approved	11/10/2017
B	North Carolina	Agent	Approved	07/20/2022
B	Ohio	Agent	Approved	02/04/2020
B	Pennsylvania	Agent	Approved	10/04/2021
B	South Carolina	Agent	Approved	07/01/2024
B	South Dakota	Agent	Approved	09/29/2014
B	Texas	Agent	Approved	06/02/2014
B	Utah	Agent	Approved	06/02/2014
B	Virginia	Agent	Approved	05/03/2022
B	Washington	Agent	Approved	05/03/2021
B	West Virginia	Agent	Approved	06/03/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
2091 E 1300 S

Qualifications

SUITE 101
SALT LAKE CITY, UT 84108

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	Texas	Investment Adviser Representative	Restricted Approval	07/19/2016
IA	Utah	Investment Adviser Representative	Approved	06/03/2014

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
2091 E 1300 S
SUITE 101
SALT LAKE CITY, UT 84108

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/17/2014
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/17/2014

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	11/25/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/30/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/2003

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	02/09/2007 - 06/03/2014	EDWARD JONES	CRD# 250	SALT LAKE CITY, UT
B	11/26/2003 - 06/03/2014	EDWARD JONES	CRD# 250	SALT LAKE CITY, UT

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
06/2015 - Present	ALLEGIS	AGENT	Y	SALT LAKE CITY, UT, United States
06/2015 - Present	Liberty Bank	Associate/Employee	Y	Middletown, CT, United States
09/2014 - Present	Solomon Financial Advisors, Inc.	Other	N	Salt Lake City, UT, United States
06/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SALT LAKE CITY, UT, United States
06/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	SALT LAKE CITY, UT, 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: Allegis Address: 2091 E 1300 S Ste 101, Salt Lake City, UT, 84108, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 06/17/2015 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Agent recommending life insurance, fixed and indexed life insurance, including potential 1035 exchanges.
(2)Name of Business: Seven Twenty-Five, LLC Address: 1466 S Indian Hills Dr, Salt Lake City, UT, 84108, United States Activity Type: Rental Real Estate Position/Title: Partner Investment Related: Yes Start Date: 01/01/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Very passive maintenance of property. Primary responsibility resides with a property management company.
(3)Name of Business: Solomon Financial Advisors, Inc Address: 2091 E 1300 S Ste 101, Salt Lake City, UT, 84108, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 10/30/2019 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Would like to use SFA Investments, Inc interchangeably with the existing DBA, Solomon Financial Advisors, Inc.

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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES THE FINANCIAL ADVISORS RECOMMENDATIONS WERE UNSUITABLE FOR HIS STATED LOW RISK INVESTMENT STRATEGY. HE FEELS THE MUTUAL FUND FAMILY RECOMMENDATION WAS MADE BECAUSE THE FIRM AND THE FINANCIAL ADVISOR ARE INCENTIVIZED, AND HE WAS NOT INFORMED THAT THE COMPANY WAS INVOLVED IN A CLASS ACTION SUIT. AFTER TWO MEETINGS WITH THE FINANCIAL ADVISOR, THE CLIENT DOES NOT FEEL HE EARNED THE $7,000 PAID IN COMMISSIONS.
Product Type:	Mutual Fund
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF $5000.00.
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:	03/05/2012
Complaint Pending?	No

Status:	Closed/No Action
Status Date:	03/23/2012
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	DURING ONE OF FIVE APPOINTMENTS, A RISK TOLERANCE QUESTIONNAIRE WAS COMPLETED RESULTING IN 'BALANCED TOWARD GROWTH'. BASED ON VERBAL CUES, THE FINANCIAL ADVISOR SUGGESTED AN ASSET ALLOCATION OF BALANCED TOWARD INCOME WITH A LOW TO MODERATE RISK PROFILE. BASED ON THE CLIENT'S TIME HORIZON, INVESTMENT AMOUNT, RISK TOLERANCE AND FIRM RESEARCH, THE FINANCIAL ADVISOR RECOMMENDED THE LORD ABBETT FUND FAMILY OFFERING A VARIETY OF INCOME BASED FUNDS . THE FINANCIAL ADVISOR PROVIDED THE REVENUE SHARING DISCLOSURE, DISCLOSED SALES CHARGES AND BREAK POINTS ASSOCIATED WITH THE FUND RECOMMENDATIONS AND PROVIDED TRADE CONFIRMATIONS AND PROSPECTUSES IN JUNE 2011. IN AUGUST, UPSET BY THE DECREASING ACCOUNT VALUE, THE CLIENT UPDATED HIS RISK TOLERANCE INFORMING THE FINANCIAL ADVISOR HE DID NOT WANT TO LOSE VALUE. IN RESPONSE TO THE CHANGE IN RISK TOLERANCE, THEY REPOSITIONED A MAJORITY OF THE PORTFOLIO TO THE LORD ABBETT SHORT DURATION FUND. SHORTLY THEREAFTER, THE POSITIONS WERE TRANSFERRED TO ANOTHER FIRM. THE SALES CHARGE IS REASONABLE FOR LONG TERM INVESTMENTS, AS ORIGINALLY EXPRESSED TO THE FA. THE FIRM'S RESEARCH TEAM COMPLETE DUE DILIGENCE IN REVIEW OF MUTUAL FUND FAMILIES. THE FUND FAMILY IS DESIGNATED A PREFERRED PRODUCT PARTNER, AND MANY OF THE INDIVIDUAL FUNDS ARE RECOMMENDED ON THE FIRM'S FOCUS LIST.

End of Report

This page is intentionally left blank.

