IAPD Report

Ronald Ray Hodge

CRD# 4894475

Section Title | **Page(s)**

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

Ronald Ray Hodge (CRD# 4894475)

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 **06/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	07/28/2022
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/28/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	07/28/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/03/2022

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **2** 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	TERRE HAUTE, IN	05/12/2016 - 07/07/2022
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	TERRE HAUTE, IN	04/29/2016 - 07/07/2022
B	WOODBURY FINANCIAL SERVICES, INC.	421	TERRE HAUTE, IN	06/02/2010 - 05/03/2016

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:

Report Summary

Type	Count
Customer Dispute	1

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

Employment 1 of 3

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 Principal	Approved	07/28/2022
B	FINRA	General Securities Representative	Approved	07/28/2022
B	Investors' Exchange LLC	General Securities Principal	Approved	09/05/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	09/05/2025
B	MEMX LLC	General Securities Principal	Approved	09/05/2025
B	MEMX LLC	General Securities Representative	Approved	09/05/2025
B	NYSE American LLC	General Securities Principal	Approved	07/28/2022
B	NYSE American LLC	General Securities Representative	Approved	07/28/2022
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/05/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/05/2025
B	NYSE Texas, Inc.	General Securities Principal	Approved	09/05/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/05/2025
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/28/2022

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Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/28/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	07/28/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	07/28/2022
B	New York Stock Exchange	General Securities Principal	Approved	07/28/2022
B	New York Stock Exchange	General Securities Representative	Approved	07/28/2022
B	Florida	Agent	Approved	09/12/2025
B	Indiana	Agent	Approved	08/02/2022
IA	Indiana	Investment Adviser Representative	Approved	08/03/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
Terre Haute, IN

Employment 2 of 3

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 Principal	Approved	07/28/2022
B	FINRA	General Securities Representative	Approved	07/28/2022
B	Florida	Agent	Approved	09/12/2025
B	Indiana	Agent	Approved	08/02/2022

Branch Office Locations

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Qualifications

RAYMOND JAMES FINANCIAL SERVICES
Terre Haute, IN

Employment 3 of 3

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	Indiana	Investment Adviser Representative	Approved	07/28/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
Terre Haute, IN

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/30/2016

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	08/08/2005

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/05/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/2005

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
IA	05/12/2016 - 07/07/2022	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	TERRE HAUTE, IN
B	04/29/2016 - 07/07/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	TERRE HAUTE, IN
B	06/02/2010 - 05/03/2016	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	TERRE HAUTE, IN
IA	06/02/2010 - 05/03/2016	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	TERRE HAUTE, IN
IA	08/06/2008 - 06/01/2010	LEGEND ADVISORY CORP	CRD# 104761	TERRE HAUTE, IN
B	08/04/2008 - 06/01/2010	LEGEND EQUITIES CORPORATION	CRD# 30999	BRAZIL, IN
IA	03/15/2007 - 08/07/2008	EDWARD JONES	CRD# 250	RILEY, IN
B	08/09/2005 - 08/07/2008	EDWARD JONES	CRD# 250	RILEY, IN

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
07/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Terre Haute, IN, United States
07/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Terre Haute, IN, United States
06/2022 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	TERRE HAUTE, IN, United States
06/2016 - Present	THE VALLEY GROUP	OWNER OF SUPPORT COMPANY	N	TERRE HAUTE, IN, United States
05/2016 - 06/2022	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC	INVESTMENT ADVISER REP	Y	TERRE HAUTE, IN, United States
04/2016 - 06/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	TERRE HAUTE, IN, United States

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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: The Valley Group Address: 7205 S State Road 46 Ste B, Terre Haute, IN, 47802, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 06/28/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Organizational Partner

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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	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:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	7/14/08; CLIENT STATES HE WAS NOT INFORMED BY FA OF THE TAX IMPLICATIONS WHEN SURRENDERING HIS LIFE INSURANCE POLICY BECAUSE HE HAD A LOAN ON THE POLICY. CLIENT HAS PROVIDED A STATEMENT FROM THE IRS WHICH INDICATES HE OWES $16,738.45. CLIENT FEELS HE WAS MISGUIDED AND DOES NOT FEEL HE SHOULD BE RESPONSIBLE FOR THE PENALTIES INCURRED.
Product Type:	Insurance
Alleged Damages:	$16,738.45
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:	10/19/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/25/2011
Settlement Amount:	

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Individual Contribution Amount:	
Firm Statement	AS I INFORMED THE CLIENT DURING MY TELEPHONE CONVERSATION WITH HIM ON MONDAY DECEMBER 20, 2010, THIS LETTER IS TO CONFIRM IN WRITING THAT WE ARE OFFERING A SETTLEMENT IN THE AMOUNT OF $6,700.00. THE SETTLEMENT REPRESENTS JUST OVER ONE-HALF OF THE 2008 TAX INCREASE ($13,247.00) AS NOTED BY THE INTERNAL REVENUE SERVICE. WE BELIEVE THE OFFER IS REASONABLE GIVEN THAT THIS ACTIVITY TOOK PLACE OVER TWO YEARS AGO, CLIENT SIGNED A SURRENDER DOCUMENT FROM UNION SECURITY REFLECTING GAINS WOULD BE CONSIDERED TAXABLE INCOME AND HARTFORD LIFE HAS ALSO INFORMED US THAT A SURRENDER NOTIFICATION WAS MAILED TO THE CLIENT ON JULY 14, 2008 (WHICH STATED THE SURRENDER CREATED A TAXABLE EVENT). WHILE IT APPEARS THERE MAY HAVE BEEN A MISCOMMUNICATION BETWEEN THE CLIENT AND OUR PRIOR FINANCIAL ADVISOR RON HODGE, THERE WAS AMPLE DOCUMENTATION CLEARLY REFLECTING THE TAX CONSEQUENCES OF THE SURRENDER. AS OF 1/25/11 CLIENT DID NOT ACCEPT OUR OFFER.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	7/14/08; CLIENT STATES HE WAS NOT INFORMED BY FA OF THE TAX IMPLICATIONS WHEN SURRENDERING HIS LIFE INSURANCE POLICY BECAUSE HE HAD A LOAN ON THE POLICY. CLIENT HAS PROVIDED A STATEMENT FROM THE IRS WHICH INDICATES HE OWES $16,738.45. CLIENT FEELS HE WAS MISGUIDED AND DOES NOT FEEL HE SHOULD BE RESPONSIBLE FOR THE PENALTIES INCURRED.
Product Type:	Insurance
Alleged Damages:	$16,738.45
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:	10/19/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/25/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	AS I INFORMED THE CLIENT DURING MY TELEPHONE CONVERSATION WITH HIM ON MONDAY DECEMBER 20, 2010, THIS LETTER IS TO CONFIRM IN WRITING THAT WE ARE OFFERING A SETTLEMENT IN THE AMOUNT OF $6,700.00. THE SETTLEMENT REPRESENTS JUST OVER ONE-HALF OF THE

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End of Report

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