



## IAPD Report

# Paul Hollen Evans

CRD# 5199192

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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

### Paul Hollen Evans (CRD# 5199192)

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 **03/13/2026**.

### CURRENT EMPLOYERS

|           | Firm                                           | CRD#        | Registered Since |
|-----------|------------------------------------------------|-------------|------------------|
| <b>B</b>  | RAYMOND JAMES FINANCIAL SERVICES, INC.         | CRD# 6694   | 05/19/2021       |
| <b>IA</b> | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | 05/19/2021       |

### 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      |
|-----------|--------------|------|----------------|-------------------------|
| <b>IA</b> | EDWARD JONES | 250  | SCOTTSDALE, AZ | 11/13/2006 - 05/20/2021 |
| <b>B</b>  | EDWARD JONES | 250  | SCOTTSDALE, AZ | 09/26/2006 - 05/20/2021 |

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 | 2     |



## 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 | 05/19/2021 |
|    | Alabama              | Agent                             | Approved | 04/18/2024 |
|  | Alaska               | Agent                             | Approved | 06/01/2021 |
|  | Arizona              | Agent                             | Approved | 05/19/2021 |
|  | Arkansas             | Agent                             | Approved | 05/19/2021 |
|  | California           | Agent                             | Approved | 05/19/2021 |
|  | Colorado             | Agent                             | Approved | 05/19/2021 |
|  | Connecticut          | Agent                             | Approved | 04/18/2024 |
|  | Delaware             | Agent                             | Approved | 04/18/2024 |
|  | District of Columbia | Agent                             | Approved | 04/18/2024 |
|  | Florida              | Agent                             | Approved | 05/19/2021 |
|  | Georgia              | Agent                             | Approved | 05/19/2021 |
|  | Hawaii               | Agent                             | Approved | 04/18/2024 |



## Qualifications

|   | Regulator     | Registration | Status   | Date       |
|---|---------------|--------------|----------|------------|
| B | Idaho         | Agent        | Approved | 04/18/2024 |
| B | Illinois      | Agent        | Approved | 06/08/2021 |
| B | Indiana       | Agent        | Approved | 04/18/2024 |
| B | Iowa          | Agent        | Approved | 04/18/2024 |
| B | Kansas        | Agent        | Approved | 04/18/2024 |
| B | Kentucky      | Agent        | Approved | 05/19/2021 |
| B | Louisiana     | Agent        | Approved | 04/18/2024 |
| B | Maine         | Agent        | Approved | 04/18/2024 |
| B | Maryland      | Agent        | Approved | 04/18/2024 |
| B | Massachusetts | Agent        | Approved | 04/18/2024 |
| B | Michigan      | Agent        | Approved | 04/18/2024 |
| B | Minnesota     | Agent        | Approved | 04/18/2024 |
| B | Mississippi   | Agent        | Approved | 10/09/2025 |
| B | Missouri      | Agent        | Approved | 05/19/2021 |
| B | Montana       | Agent        | Approved | 04/18/2024 |
| B | Nebraska      | Agent        | Approved | 05/19/2021 |
| B | Nevada        | Agent        | Approved | 05/19/2021 |
| B | New Hampshire | Agent        | Approved | 04/18/2024 |
| B | New Jersey    | Agent        | Approved | 04/18/2024 |



## Qualifications

| Regulator |                | Registration | Status   | Date       |
|-----------|----------------|--------------|----------|------------|
| B         | New Mexico     | Agent        | Approved | 05/19/2021 |
| B         | New York       | Agent        | Approved | 05/24/2021 |
| B         | North Carolina | Agent        | Approved | 04/19/2024 |
| B         | Ohio           | Agent        | Approved | 05/19/2021 |
| B         | Oklahoma       | Agent        | Approved | 05/19/2021 |
| B         | Oregon         | Agent        | Approved | 04/18/2024 |
| B         | Pennsylvania   | Agent        | Approved | 04/18/2024 |
| B         | South Carolina | Agent        | Approved | 03/13/2023 |
| B         | South Dakota   | Agent        | Approved | 04/18/2024 |
| B         | Tennessee      | Agent        | Approved | 01/13/2022 |
| B         | Texas          | Agent        | Approved | 05/19/2021 |
| B         | Utah           | Agent        | Approved | 04/18/2024 |
| B         | Vermont        | Agent        | Approved | 04/18/2024 |
| B         | Virgin Islands | Agent        | Approved | 04/18/2024 |
| B         | Virginia       | Agent        | Approved | 05/19/2021 |
| B         | Washington     | Agent        | Approved | 05/19/2021 |
| B         | West Virginia  | Agent        | Approved | 04/18/2024 |
| B         | Wisconsin      | Agent        | Approved | 04/18/2024 |
| B         | Wyoming        | Agent        | Approved | 04/18/2024 |



## Qualifications

| Regulator | Registration | Status | Date |
|-----------|--------------|--------|------|
|-----------|--------------|--------|------|

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES

14350 N. 87th Street  
Suite 300  
Scottsdale, AZ 85260

### 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 | Arizona | Investment Adviser Representative | Approved            | 05/24/2021 |
| IA | Texas   | Investment Adviser Representative | Restricted Approval | 05/19/2021 |

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

14350 N. 87th Street  
Suite 300  
Scottsdale, AZ 85260



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

#### General Industry/Product Exams

| Exam                                                        | Category | Date       |
|-------------------------------------------------------------|----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination (S7) | Series 7 | 09/25/2006 |

#### State Securities Law Exams

| Exam                                                            | Category  | Date       |
|-----------------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66) | Series 66 | 10/04/2006 |



### 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 | 11/13/2006 - 05/20/2021 | EDWARD JONES | CRD# 250 | SCOTTSDALE, AZ  |
| B  | 09/26/2006 - 05/20/2021 | EDWARD JONES | CRD# 250 | SCOTTSDALE, AZ  |

### 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             |
|-------------------|-------------------------------------------------|-----------------------------------|--------------------|-------------------------------|
| 05/2021 - Present | Raymond James Financial Services Advisors, Inc. | Investment Advisor Representative | Y                  | Scottsdale, AZ, United States |
| 05/2021 - Present | Raymond James Financial Services, Inc.          | Registered Representative         | Y                  | Scottsdale, AZ, United States |
| 08/2006 - 05/2021 | Edward Jones                                    | Financial Advisor                 | Y                  | SCOTTSDALE, AZ, 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: Birch & Sterling LLC Address: 14350 N 87th St Ste 300, Scottsdale, AZ, 85260-2663, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 01/08/2026 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: General Oversight
- (2)Name of Business: SilverTree Collective Address: 9237 E. Via de Ventura, Scottsdale, AZ, 85258, United States Activity Type: Support Company - Owner Position/Title: Associate/Employee Investment Related: No Start Date: 10/15/2022 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 2-10 Description of duties: DBA Name Only - SilverTree Collective will be an umbrella for all companies to fall under. (We have Various groups with different DBA names in our population.)
- (3)Name of Business: SilverTree Companies, LLC Address: 14350 N 87th St Ste 300, Scottsdale, AZ, 85260-2663, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 01/08/2026 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Oversee Business Activities.
- (4)Name of Business: SilverTree Signature Address: 9237 E Via de Ventura Ste 130, Scottsdale, AZ, 85258-3565, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/01/2024 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 11-20 Description of duties: DBA for Raymond James Business. SilverTree Signature is a Ultra High Net worth Division of our Current Firm. Just created different Branding Around this Channel. As one of the primary owners, my role is building out our processes and service model to our ultra high net worth clients.
- (5)Name of Business: SilverTree Wealth Partners Address: 9237 E Via de Ventura Ste 130, Scottsdale, AZ, 85258, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 05/01/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Founding partner of SilverTree Wealth Partners. It is our DBA for our business with RJFS. I am 1 of 4 partners, and my role is to



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

share jointly in our company responsibilities. IE Marketing, Branding, branch office staff etc.

(6)Name of Business: The SilverTree Foundation Address: 14350 N 87th St Ste 300, Scottsdale, AZ, 85260-2663, United States  
Activity Type: Non profit Position/Title: Officer - President Investment Related: Yes Start Date: 11/11/2025 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Run the Non-Profit division of our firm to facilitate funds to local charities benefiting children along with my other business partners.



## 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 | 2     |

### 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 2

|                                                                            |                                                                                                                                                       |
|----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Individual                                                                                                                                            |
| <b>Employing firm when activities occurred which led to the complaint:</b> | EDWARD JONES                                                                                                                                          |
| <b>Allegations:</b>                                                        | Client alleges his financial advisor failed to follow his instructions in March 2015 by liquidating an annuity instead of completing a 1035 exchange. |
| <b>Product Type:</b>                                                       | Annuity-Variable                                                                                                                                      |
| <b>Alleged Damages:</b>                                                    | \$34,950.00                                                                                                                                           |
| <b>Is this an oral complaint?</b>                                          | No                                                                                                                                                    |
| <b>Is this a written complaint?</b>                                        | Yes                                                                                                                                                   |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | No                                                                                                                                                    |

### Customer Complaint Information

|                                        |                                                                                   |
|----------------------------------------|-----------------------------------------------------------------------------------|
| <b>Date Complaint Received:</b>        | 04/29/2016                                                                        |
| <b>Complaint Pending?</b>              | No                                                                                |
| <b>Status:</b>                         | Denied                                                                            |
| <b>Status Date:</b>                    | 05/26/2016                                                                        |
| <b>Settlement Amount:</b>              | \$0.00                                                                            |
| <b>Individual Contribution Amount:</b> | \$0.00                                                                            |
| <b>Broker Statement</b>                | After completion of the firm's investigation into client's allegations, claim was |



denied.

## Disclosure 2 of 2

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** 12/15/08; CLIENTS CLAIM THEY ASKED THE FA TO PUT THEIR ACCOUNTS ON HOLD IN AUGUST OF 2008. AS OF SEPTEMBER OF 2008 THAT HAD NOT BEEN DONE AND THE CLIENTS FEEL THEY HAVE LOST \$6000.00 AND WERE CHARGED \$726 TO GET OUT OF THE FUNDS. CLIENTS ARE WANTING A REFUND OF THE \$726.00 AND SOME TYPE OF RESTITUTION FOR THE ADDITIONAL LOSSES.

**Product Type:** Other  
**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/15/2008  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 01/07/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** ACCORDING TO THE FA WHEN THE CLIENTS REQUESTED THAT HE SELL OUT OF ALL ASSETS IN SEPTEMBER HE PROCEEDED FORWARD WITH THE INSTRUCTIONS. PRIOR TO SELLING THE ANNUITY HE REALIZED THAT THE CLIENTS WOULD HAVE A SURRENDER CHARGE AS WELL AS LOSING A LARGE DEATH BENEFIT SO THE FA RECOMMENDED THAT THE CLIENT NOT SELL AND AT THAT TIME SHE AGREED TO HOLD THE POSITION. IN NOVEMBER THE CLIENT WANTED TO SELL THE INVESTMENT AND THE FA HAD THEM COME IN AND SIGN AN ACKNOWLEDGEMENT LETTER VERIFYING THEY UNDERSTOOD THE FEES AND THE LOST DEATH BENEFIT. BASED UPON OUR REVIEW OF THE MATTER IT IS OUR OPINION THAT THE FA FOLLOWED THE CLIENTS' INSTRUCTIONS AND PROVIDED THE CLIENTS WITH THE NECESSARY INFORMATION REGARDING FEES AND LOSSES. COMPLAINT DENIED.



## End of Report

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