



IAPD Report

CHRISTINE RENEE MCBROOM

CRD# 5555399

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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

CHRISTINE RENEE MCBROOM (CRD# 5555399)

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 **02/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/09/2016
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	05/19/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	FIRST ALLIED ADVISORY SERVICES, INC.	137888	CAPITOLA, CA	03/13/2013 - 06/20/2016
B	FIRST ALLIED SECURITIES, INC.	32444	CAPITOLA, CA	03/11/2013 - 06/01/2016
IA	EDWARD JONES	250	CAPITOLA, CA	09/02/2008 - 03/01/2013

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
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 **16** 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	05/09/2016
B	FINRA	General Securities Sales Supervisor	Approved	11/15/2017
B	Arizona	Agent	Approved	05/09/2016
B	California	Agent	Approved	05/09/2016
B	Florida	Agent	Approved	05/14/2018
B	Idaho	Agent	Approved	10/29/2025
B	Massachusetts	Agent	Approved	02/13/2018
B	Nevada	Agent	Approved	05/09/2016
B	New York	Agent	Approved	01/12/2021
B	North Carolina	Agent	Approved	07/15/2025
B	Ohio	Agent	Approved	08/20/2021
B	Oregon	Agent	Approved	05/09/2016
B	Tennessee	Agent	Approved	04/08/2021



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	05/09/2016
B Utah	Agent	Approved	08/27/2024
B Vermont	Agent	Approved	05/14/2018
B Virginia	Agent	Approved	05/09/2016
B Washington	Agent	Approved	08/22/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

820 Bay Ave
SUITE 101
CAPITOLA, CA 95010

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 California	Investment Adviser Representative	Approved	05/19/2016
IA Texas	Investment Adviser Representative	Restricted Approval	05/04/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

820 Bay Ave
Suite 101
CAPITOLA, CA 95010



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/15/2017
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/03/2017

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/14/2008

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	08/28/2008

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	03/13/2013 - 06/20/2016	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	CAPITOLA, CA
B	03/11/2013 - 06/01/2016	FIRST ALLIED SECURITIES, INC.	CRD# 32444	CAPITOLA, CA
IA	09/02/2008 - 03/01/2013	EDWARD JONES	CRD# 250	CAPITOLA, CA
B	08/18/2008 - 03/01/2013	EDWARD JONES	CRD# 250	CAPITOLA, CA

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
05/2016 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser Rep	Y	CAPITOLA, CA, United States
05/2016 - Present	Raymond James Financial Services Inc.	Financial Advisor	Y	CAPITOLA, CA, United States
09/2013 - 01/2017	City Of Capitola	Officer - Treasurer	N	Capitola, CA, 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: Lanai Financial Solutions LLC Address: 1066 41st Ave Ste A101, Capitola, CA, 95010, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 03/10/2013 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Financial Advisor, President and Owner and Officer
- (2)Name of Business: Lanai Wealth Partners Address: 820 Bay Ave Ste 101, Capitola, CA, 95010-2134, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 09/01/2025 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor and Branch Manager
- (3)Name of Business: Santa Cruz Montessori Address: 6230 Soquel Dr, Aptos, CA, 95003, United States Activity Type: Non profit Position/Title: Board Member, Finance/Investment Committee Member, Chair of the Board, Officer - President, Executive Member, Other Investment Related: Yes Start Date: 09/17/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Discussing and reviewing financial status of the school\n\nOther: Board President. Should I mark chairman of the board?



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
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Termination	1
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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:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	02/01/2013
Allegations:	MCBROOM WAS TERMINATED AFTER SHE ADMITTED TO ALTERING ONE CLIENT SIGNED FIRM DOCUMENT PRIOR TO SUBMISSION OF THE DOCUMENT TO THE HOME OFFICE, AND AN INTERNAL REVIEW CONCLUDED THAT MULTIPLE CLIENT SIGNED DOCUMENTS SCANNED BY HER BRANCH OFFICE OVER THE PAST FOUR YEARS WERE COPIED AND MODIFIED.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	02/01/2013
Allegations:	DOCUMENTATION MODIFICATION AFTER THE CLIENT HAD SIGNED
Product Type:	No Product
Broker Statement	A CLIENT WANTED TO SET UP THEIR DIVIDEND AND INTEREST PAYMENTS TO BE SENT TO THEIR BANK ACCOUNT. THE CLIENT SIGNED A FORM THAT HAD THEIR INCORRECT EDWARD JONES ACCOUNT NUMBER ON IT. THE CLIENT REQUESTED THAT WE CORRECT THE ACCOUNT NUMBER I WHITED OUT THE INCORRECT ACCOUNT NUMBER. THE DOCUMENT WAS THEN SET ASIDE FOR THE CORRECT ACCOUNT NUMBER



TO BE FILLED IN. BEFORE IT WAS COMPLETED IT WAS SUBMITTED TO HOME OFFICE BY MY BRANCH OFFICE ADMINISTRATOR WITHOUT MY AUTHORIZATION. THE INTERNAL REVIEW ALLEGED THAT MULTIPLE SIGNED DOCUMENTS BY MY BRANCH OFFICE OVER THE PAST FOUR YEARS WERE COPIED AND MODIFIED. THESE WERE DOCUMENTS THAT I DID NOT PREPARE, NOR INSTRUCT THE CLIENTS TO SIGN, NOR SUBMITTED TO HOME OFFICE. THEY WERE DOCUMENTS THAT WERE PREPARED, INSTRUCTED THE CLIENTS TO SIGN AND SUBMITTED TO THE HOME OFFICE BY MY OFFICE PERSONNEL.



End of Report

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