



IAPD Report

Roland Martin

CRD# 6085052

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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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

Roland Martin (CRD# 6085052)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/16/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	09/16/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	OAKLAND, CA	09/17/2012 - 09/19/2022
B	EDWARD JONES	250	OAKLAND, CA	08/29/2012 - 09/19/2022

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	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 **30** 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	09/16/2022
B FINRA	General Securities Sales Supervisor	Approved	05/12/2025
B Alabama	Agent	Approved	09/16/2022
B Arizona	Agent	Approved	09/16/2022
B California	Agent	Approved	09/16/2022
B Colorado	Agent	Approved	09/16/2022
B District of Columbia	Agent	Approved	09/16/2022
B Florida	Agent	Approved	09/16/2022
B Georgia	Agent	Approved	09/16/2022
B Hawaii	Agent	Approved	01/11/2023
B Illinois	Agent	Approved	03/17/2023
B Kansas	Agent	Approved	09/16/2022
B Kentucky	Agent	Approved	03/06/2023



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	02/14/2025
B	Maine	Agent	Approved	09/16/2022
B	Maryland	Agent	Approved	11/15/2022
B	Massachusetts	Agent	Approved	09/16/2022
B	Michigan	Agent	Approved	12/07/2022
B	Minnesota	Agent	Approved	09/20/2022
B	Nevada	Agent	Approved	09/16/2022
B	New Jersey	Agent	Approved	09/16/2022
B	New Mexico	Agent	Approved	08/13/2024
B	New York	Agent	Approved	09/16/2022
B	North Carolina	Agent	Approved	09/16/2022
B	Oregon	Agent	Approved	11/16/2022
B	Pennsylvania	Agent	Approved	09/02/2025
B	South Carolina	Agent	Approved	09/16/2022
B	Tennessee	Agent	Approved	09/16/2022
B	Texas	Agent	Approved	09/16/2022
B	Virginia	Agent	Approved	09/16/2022
B	Washington	Agent	Approved	09/16/2022
B	Wyoming	Agent	Approved	09/16/2022



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

600 Grand Avenue
Suite 301
Oakland, CA 94610

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
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IA California	Investment Adviser Representative	Approved	09/16/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/16/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

600 Grand Avenue
Suite 301
Oakland, CA 94610



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
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/10/2025
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/23/2024

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	08/28/2012

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/14/2012

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	09/17/2012 - 09/19/2022	EDWARD JONES	CRD# 250	OAKLAND, CA
B	08/29/2012 - 09/19/2022	EDWARD JONES	CRD# 250	OAKLAND, 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
09/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Oakland, CA, United States
09/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Oakland, CA, United States
07/2012 - 09/2022	EDWARD JONES	FINANCIAL ADVISOR	Y	OKLAND, 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: Address: 2024 West 104th St, Cleveland, CA, 44102, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 02/19/2025 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Own the property. Management company runs everything

(2) Name of Business: Address: 600 Grand Ave Ste 301, Oakland, CA, 94610-3548, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 01/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:

(3) Name of Business: Endless Mindset Address: 585 MacArthur Blvd #PH, Oakland, CA, 94610, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 01/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Creating designs and posting them on the website. I spend very little time on the business.

(4)Name of Business: ROMAR Wealth Management Address: 600 Grand Ave Ste 301, Oakland, CA, 94610-3548, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 09/16/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Wealth management company creating financial plans and investing in the stock marke

(4)Name of Business: ROMAR Wealth Management Address: 600 Grand Ave Ste 301, Oakland, CA, 94610-3548, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 09/16/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Wealth management company creating financial plans and investing in the stock market for clients.



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	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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	INSURANCE COMMISSIONER OF THE STATE OF CALIFORNIA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/10/2018
Docket/Case Number:	OBS 3161-A(AR)
Employing firm when activity occurred which led to the regulatory action:	EDWARD JONES
Product Type:	No Product
Allegations:	The California Department of Insurance entered the Order after registered representative did not notify the Commissioner of a change in background information in a timely manner.
Current Status:	Final
Resolution:	Order
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:	07/10/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$202.00
Portion Levied against individual: \$202.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 07/26/2018
Was any portion of penalty waived? No
Amount Waived: \$202.00

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$250.00
Portion Levied against individual: \$250.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 07/26/2018
Was any portion of penalty waived? No
Amount Waived:



End of Report

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