



## IAPD Report

# Kelsey Addison McCarty

CRD# 7078116

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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

### Kelsey Addison McCarty (CRD# 7078116)

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 **07/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/13/2021
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/03/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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
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No information reported.

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?

**No**



## 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 **26** 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	12/13/2021
	FINRA	General Securities Sales Supervisor	Approved	10/14/2024
	Alabama	Agent	Approved	10/31/2024
	Arizona	Agent	Approved	10/31/2024
	Arkansas	Agent	Approved	10/31/2024
	California	Agent	Approved	10/31/2024
	Colorado	Agent	Approved	10/31/2024
	Florida	Agent	Approved	10/31/2024
	Georgia	Agent	Approved	10/31/2024
	Idaho	Agent	Approved	10/31/2024
	Illinois	Agent	Approved	10/31/2024
	Indiana	Agent	Approved	10/31/2024
	Kentucky	Agent	Approved	10/31/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	10/31/2024
B	Mississippi	Agent	Approved	02/03/2023
B	Missouri	Agent	Approved	10/31/2024
B	Nevada	Agent	Approved	10/31/2024
B	New Mexico	Agent	Approved	10/31/2024
B	New York	Agent	Approved	10/31/2024
B	North Carolina	Agent	Approved	11/01/2024
B	Oklahoma	Agent	Approved	10/31/2024
B	South Carolina	Agent	Approved	10/31/2024
B	South Dakota	Agent	Approved	10/31/2024
B	Tennessee	Agent	Approved	10/31/2024
B	Texas	Agent	Approved	10/31/2024
B	Utah	Agent	Approved	10/31/2024
B	Virginia	Agent	Approved	10/31/2024
B	Wisconsin	Agent	Approved	10/31/2024

## Branch Office Locations

### RAYMOND JAMES FINANCIAL SERVICES

524 Main Street  
Hattiesburg, MS 39401

## Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**



## Qualifications

Main Address: 880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	Mississippi	Investment Adviser Representative	Approved	02/03/2023

## Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
22 Millbranch Road  
Suite 500  
Hattiesburg, MS 39402



## 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 - Options Module Examination (S9)	Series 9	10/14/2024
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/26/2024

#### General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	12/13/2021
B	Securities Industry Essentials Examination (SIE)	SIE	02/04/2021

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/02/2023



### 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:

No information reported.

### 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
02/2023 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Hattiesburg, MS, United States
02/2019 - Present	Raymond James Financial Services	Registered Representative	Y	Hattiesburg, MS, United States
01/2019 - 02/2019	US House of Representatives	Communications Intern	N	Hattiesburg, MS, United States
08/2016 - 12/2018	University of Mississippi	Full Time Student	N	University, MS, United States
05/2018 - 08/2018	US House of Representatives	Communications Intern	N	Hattiesburg, MS, United States
08/2016 - 08/2016	University of Mississippi Call Center	Representative	N	Oxford, MS, United States
05/2015 - 07/2016	Keaster's Barbeque	Cashier	N	Hattiesburg, MS, United States
08/2014 - 05/2016	Jones College	Full Time Student	N	Ellisville, MS, 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: Cheers Studio by Kelsey Address: 157 Bayberry Loop S, Purvis, MS, 39475, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 12/14/2021 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I will design invitations and post an editable template to Etsy for customers to purchase. I will also post clothing items and gifts on Etsy that can be purchased.

(2)Name of Business: Raanes and Oliver Capital Advisors Address: 22 Millbranch Rd Ste 500, Hattiesburg, MS, 39402-1591, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 02/25/2019 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: I serve as a financial advisor and branch manager in helping clients with their financial goals. I trade on the client's behalf when needed and meet with clients daily.

(3)Name of Business: YANKY 72 Memorial Committee Address: 157 Bayberry Loop S, Purvis, MS, 39475, United States Activity





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Type: Non profit Position/Title: Director, Committee Member Investment Related: Yes Start Date: 08/01/2017 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I work with several other committee members to plan the annual YANKY 72 Memorial Ceremony in mid July in the Mississippi Delta.



## End of Report

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