



IAPD Report

HARRY DANIEL FOSTER

CRD# 726088

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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

HARRY DANIEL FOSTER (CRD# 726088)

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 **07/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	01/04/1999
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	6694	COLUMBIA, SC	05/19/1999 - 01/02/2009
B	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL	08/31/1987 - 01/04/1999
B	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	ST. PETERSBURG, FL	12/14/1982 - 08/28/1987

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
Criminal	1
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 **21** 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 Principal	Approved	01/04/1999
	FINRA	General Securities Representative	Approved	01/04/1999
	FINRA	Municipal Securities Principal	Approved	01/04/1999
	FINRA	Municipal Securities Representative	Approved	01/04/1999
	Alabama	Agent	Approved	02/08/1999
	California	Agent	Approved	01/04/1999
	Colorado	Agent	Approved	07/24/2026
	Delaware	Agent	Approved	05/10/2019
	Florida	Agent	Approved	01/04/1999
	Georgia	Agent	Approved	01/04/1999
	Idaho	Agent	Approved	06/06/2016
	Iowa	Agent	Approved	04/19/2017
	Kentucky	Agent	Approved	03/06/2017



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	01/20/2009
B	New Jersey	Agent	Approved	08/02/2019
B	New York	Agent	Approved	03/22/2013
B	North Carolina	Agent	Approved	01/04/1999
B	Ohio	Agent	Approved	01/04/1999
B	Oregon	Agent	Approved	10/15/2024
B	Pennsylvania	Agent	Approved	04/18/2017
B	Rhode Island	Agent	Approved	09/29/2025
B	South Carolina	Agent	Approved	01/04/1999
B	South Dakota	Agent	Approved	03/22/2023
B	Texas	Agent	Approved	03/07/2006
B	Virginia	Agent	Approved	01/03/2001

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
2005 EAST GREENVILLE STREET
UNIT 106
ANDERSON, SC 29621

RAYMOND JAMES FINANCIAL SERVICES
1445 EAST MAIN STREET
SPARTANBURG, SC 29307

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018



Qualifications

Regulator	Registration	Status	Date
 South Carolina	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1445 EAST MAIN STREET
SPARTANBURG, SC 29307



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	02/01/1996
	General Securities Principal Examination (S24)	Series 24	02/24/1989

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	11/19/1984
	General Securities Representative Examination (S7)	Series 7	03/21/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/04/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/1982

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	05/19/1999 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	COLUMBIA, SC
B	08/31/1987 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	12/14/1982 - 08/28/1987	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	03/23/1981 - 12/13/1982	J.C. BRADFORD & CO.	CRD# 1287	

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
12/2019 - Present	H Daniel Foster Company	President	N	Spartanburg, SC, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	SPARTANBURG, SC, United States
01/1999 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	OTHER - Representative	Y	SPARTANBURG, SC, United States
10/2013 - 08/2019	H DANIEL FOSTER COMPANY	SUPPORT COMPANY/DBA (OWNER)	N	SPARTANSBURG, SC, 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: H Daniel Foster Company Address: 1445 E Main St, Spartanburg, SC, 29307, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 12/06/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: President



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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CASE NO: 1 (74-CR-42)
Charge Date:	06/20/1972
Charge Details:	GRAND LARCENY; BATTERY CHARGER AND BATTERIES
Felony?	
Current Status:	Final
Status Date:	03/11/1981
Disposition Details:	PARDONED

Broker Statement	OR ABOUT JUNE 20, 1972, HARRY D. FOSTER AND RUSTY CARVER DID COMMIT THE CRIME OF GRAND LARCENY IN THAT THEY DID TAKE, STEAL AND CARRY AWAY ONE BATTERY CHARGER AND ATTERIES FROM SPARTAN AUTOMOTIVES IN SPARTANBURG, S.C. OF THE VALUE OF MORE THAN \$50.00 IN VIOLATION OF THE LAWS OF THE STATE OF S.C. ON JULY 31, 1974, IT WAS ORDERED THAT FOSTER BE CONFINED AT HARD LABOR UPON PUBLIC WORKS OF SPARTANBURG COUNTY FOR A TERM OF ELEVEN (11) MONTHS OR FOR A LIKE TERM IN THE STATE DEPT. OF CORRECTIONS PROVIDED THAT THE BALANCE OF THE SENTENCE BE AND IS SUSPENDED AND THAT HE IS PLACED ON PROBATION FOR A PERIOD OF ONE YEAR UNDER THE SUPERVISION OF THE SOUTH CAROLINA PROBATION AND PAROLE BOARD. FOSTER WAS PARDONED ON 3/11/81 BY THE STATE OF SOUTH CAROLINA.
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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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT ALLEGES MISREPRESENTATION. NO COMPENSATORY DAMAGES CLAIMED, BUT APPEAR TO BE GREATER THAN \$5000.
Product Type:	Unit Investment Trust(s)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	09/23/2003
Complaint Pending?	No
Status:	Denied
Status Date:	10/22/2003
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	UNAUTHORIZED TRADING; SUITABILITY; CHURNING; MISREPRESENTATION
Product Type:	
Alleged Damages:	\$40,243.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #91-03747
Date Notice/Process Served:	12/19/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/10/1993



Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CHURNING, UNSUITABLE AND SPECULATIVE INVESTMENTS. SHE SOUGHT DAMAGES OF \$8,714.70 AGAINST FOSTER, ROBERT THOMAS AND SMITH BARNEY AND \$31,527.84 AGAINST FOSTER AND ROBERT THOMAS SECURITIES.

Product Type:

Alleged Damages: \$40,243.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 91-03747

Date Notice/Process Served: 12/19/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/10/1993

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$15,000.00

Firm Statement SMITH BARNEY AGREED TO PAY \$5,000 AND DANIEL FOSTER AGREED TO PAY \$15,000. ALTHOUGH RESPONDENTS DENIED THE ALLEGATIONS, WE NEGOTIATED A SETTLEMENT TO AVOID THE TIME, RISK AND EXPENSE OF LITIGATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CHURNING, UNSUITABLE AND SPECULATIVE



INVESTMENTS. SHE SOUGHT DAMAGES OF \$8,714.70 AGAINST FOSTER, ROBERT THOMAS AND SMITH BARNEY AND \$31,527.84 AGAINST FOSTER AND ROBERT THOMAS SECURITIES.

Product Type:

Alleged Damages: \$40,243.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 91-03747

Date Notice/Process Served: 12/19/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/10/1993

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$15,000.00

Broker Statement SMITH BARNEY AGREED TO PAY \$5,000.00 AND DANIEL FOSTER AGREED TO PAY \$15,000.00. ALTHOUGH RESPONDENTS DENIED THE ALLEGATIONS, WE NEGOTIATED A SETTLEMENT TO AVOID THE TIME, RISK AND EXPENSE OF LITIGATION.



End of Report

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