IAPD Report

John Robert Holmes Jr.

CRD# 8041712

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

John Robert Holmes Jr. (CRD# 8041712)

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 **07/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/20/2026
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	05/20/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	TRINITY WEALTH SECURITIES, L.L.C.	104348	Austin, TX	10/24/2025 - 04/21/2026
IA	FLORIDA FINANCIAL ADVISORS, LLC	288811	Austin, TX	02/12/2025 - 04/21/2026

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	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 **1** 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	Invest. Co and Variable Contracts	Approved	05/20/2026
B	FINRA	General Securities Representative	Approved	06/29/2026
B	Texas	Agent	Approved	05/20/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
204 N PENELOPE STREET
SUITE A
BELTON, TX 76513

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	Texas	Investment Adviser Representative	Approved	05/20/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
204 N. Penelope Street
Suite A
Belton, TX 76513

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	06/29/2026
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	09/26/2025
B	Securities Industry Essentials Examination (SIE)	SIE	11/06/2024

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/11/2025
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2025

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
B	10/24/2025 - 04/21/2026	TRINITY WEALTH SECURITIES, L.L.C.	CRD# 104348	Austin, TX
IA	02/12/2025 - 04/21/2026	FLORIDA FINANCIAL ADVISORS, LLC	CRD# 288811	Austin, TX

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
05/2026 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Belton, TX, United States
05/2026 - Present	Raymond James Financial Services, Inc.	Limited Financial Advisor	Y	Belton, TX, United States
09/2025 - 04/2026	Trinity Wealth Securities, LLC	Registered Representative	Y	Austin, TX, United States
01/2025 - 04/2026	Florida Financial Advisors	Financial Consultant	Y	Austin, TX, United States
01/2025 - 04/2026	Texas Financial Advisors	Financial Consultant	Y	Austin, TX, United States
08/2024 - 01/2025	Unemployed	Unemployed	N	Austin, TX, United States
10/2022 - 07/2024	Alliance Residential Company	Project Engineer	N	Austin, TX, United States
10/2021 - 10/2022	Duke Companies	Superintendant	N	Austin, TX, United States
01/2021 - 10/2021	Sunset Boat Rentals	Owner	N	Belton, TX, United States
05/2017 - 01/2021	Holmes Contracting	Owner	N	Lubbock, TX, United States
08/2014 - 12/2019	Texas Tech University	College Student	N	Lubbock, TX, United States

Registration & Employment History

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: Gunter Financial Services Address: 204 N Penelope St Ste A, Belton, TX, 76513-3127, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date: 05/20/2026 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Agent
(2) Name of Business: Oak Crest Advisors Address: 204 N Penelope St Ste A, Belton, TX, 76513-3127, United States Activity Type: Support Company - Non Owner Position/Title: Independent Contractor Investment Related: No Start Date: 05/20/2026 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Agent

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	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 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	246th judicial district court
Location of Court:	belton texas
Docket/Case #:	FR79056
Charge Date:	01/01/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Possession of Controlled substance less than 1 gram
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	guilty
Disposition of charge:	Pled guilty
Date of Amended Charge:	08/02/2018
Charge was Amended or reduced to:	Reduced to Possession of CS PG 1 < 1G class A misdemeanor
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	guilty
Disposition of Amended Charge:	Convicted
Current Status:	Final

Status Date:	08/02/2018
Disposition Date:	07/27/2018
Sentence/Penalty:	$450 paid to attorney 8/03/2018
Broker Statement	This incident was something that could have been avoided if I was smarter and more mature at the age of 20. I went to a new years eve party with high school friends and we left earlier than planned hopping into someones car that had been drinking and was already full. The obvious happened and we got pulled over within the neighborhood within 5 minutes. Everyone had to exit the vehicle and get searched. I unfortunately had the group drugs on my possession and learned a very hard lesson that night ending up in jail. The charges were eventually dropped after community provision and supervision.

Disclosure 2 of 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	251st District Court
Location of Court:	Canyon Texas
Docket/Case #:	28561C
Charge Date:	12/03/2017
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Possession of controlled substance less than 1 gram
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	guilty, deferred
Disposition of charge:	Deferred Adjudication
Date of Amended Charge:	11/19/2019
Charge was Amended or reduced to:	dismissed
Amended No of Counts:	1
Amended Charge:	dismissed
Amended Plea:	not guilty
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Tamper/Fabricate Phys Evid w/intent to impair
No of Counts:	1

Felony or Misdemeanor:	Felony
Plea for each charge:	waived
Disposition of charge:	Dismissed
Date of Amended Charge:	08/28/2018
Charge was Amended or reduced to:	Charge was dismissed
Amended No of Counts:	1
Amended Charge:	Dismissed
Amended Plea:	Dismissed
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	11/19/2019
Disposition Date:	11/19/2019
Sentence/Penalty:	$1500/ community supervision 3 year term, early termination after 1.5 years.
Broker Statement	This arrest happened in December of 2017. I was on a road trip to a national park that was about an hour from our college town of Lubbock, Texas. The park was called Palo Duro canyon and we had planned to hike, and it turned into more of a party than exercise. We ended up staying out past the sun setting on a trail and decided to head back to the truck. At the truck waiting for us was a Texas Game Warden because he saw a beer can in our truck bed. We all ended up being searched and the drugs and alcohol were found us being underage as well. A small bag of cocaine was stored in the backpack that I brought for anything people didn't want to carry. I ended up going to jail and being charged with the possession of drugs. I spent a night in jail during college and got my friends to bail me out. I was put on probation for the remainder of college with the deferred adjudication option. Being able to get through it all and continued sobriety is really life-changing and I'm so grateful for the experiences I've been through because they've gotten me to where I am today. My probation was completed with early termination based off perfect behavior and I was released from the program the month before I graduated school.

End of Report

This page is intentionally left blank.

