



IAPD Report

Isaac Franklin Stevens Jr

CRD# 827523

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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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

Isaac Franklin Stevens Jr (CRD# 827523)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/15/2018
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/23/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	DENTON, TX	02/16/2007 - 02/20/2018
B	EDWARD JONES	250	DENTON, TX	09/22/1976 - 02/20/2018
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SAINT PETERSBURG, FL	02/15/2018 - 02/16/2018

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	2
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 **9** 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	02/15/2018
B Arkansas	Agent	Approved	03/08/2018
B California	Agent	Approved	02/15/2018
B Colorado	Agent	Approved	03/22/2018
B Kansas	Agent	Approved	03/15/2018
B Minnesota	Agent	Approved	02/11/2026
B New Mexico	Agent	Approved	02/15/2018
B Oklahoma	Agent	Approved	08/23/2021
B Texas	Agent	Approved	02/23/2018
B Washington	Agent	Approved	03/12/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
2735 WIND RIVER LANE
SUITE 152
DENTON, TX 76210

Employment 2 of 2



Qualifications

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	02/23/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
2735 WIND RIVER LANE
SUITE 152
DENTON, TX 76210



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	09/18/1976
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/27/2006
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/13/1979
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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	02/16/2007 - 02/20/2018	EDWARD JONES	CRD# 250	DENTON, TX
B	09/22/1976 - 02/20/2018	EDWARD JONES	CRD# 250	DENTON, TX
IA	02/15/2018 - 02/16/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SAINT PETERSBURG, F

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
02/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	DENTON, TX, United States
02/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	DENTON, TX, United States
06/1976 - 02/2018	EDWARD D. JONES & CO., L.P.	OTHER - REP. REP.	Y	DENTON, TX, 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: Action Printing and Copy Center Address: 2407 82nd St., Lubbock, TX, 79423, United States Activity Type: Business Owner Position/Title: Other Investment Related: No Start Date: 01/01/1989 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Passive investor/owner

(2)Name of Business: Stevens Financial Services Address: 2735 Wind River Ln Ste 152, Denton, TX, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 02/15/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: co owner, 30% with Aaron Stevens, this is the DBA/Support co for our business operation at Raymond James



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	2
Customer Dispute	2

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 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: n/a

Date Initiated: 11/27/2017

Docket/Case Number: [2016051642201](#)

Employing firm when activity occurred which led to the regulatory action: Edward Jones

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Stevens consented to the sanctions and to the entry of findings that he exercised time and price discretion without written authority. The findings stated that a customer authorized a purchase, but the order was not entered until two or three weeks later. The customer did not have a discretionary account and Stevens did not have written trading authority from the customer. The findings also stated that Stevens entered the relevant trade order using another registered representative's log-on credentials, thereby causing his member firm's books and records to be inaccurate.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

11/27/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: 10 business days
Start Date: 12/18/2017
End Date: 01/02/2018

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/26/2017
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fines paid in full on December 26, 2017.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: n/a
Date Initiated: 11/27/2017
Docket/Case Number: [2016051642201](#)



Employing firm when activity occurred which led to the regulatory action:	Edward Jones
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Stevens consented to the sanctions and to the entry of findings that he exercised time and price discretion without written authority. The findings stated that a customer authorized a purchase, but the order was not entered until two or three weeks later. The customer did not have a discretionary account and Stevens did not have written trading authority from the customer. The findings also stated that Stevens entered the relevant trade order using another registered representative's log-on credentials, thereby causing his member firm's books and records to be inaccurate.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/27/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	10 Business Days
Start Date:	12/18/2017
End Date:	01/02/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2



Reporting Source: Regulator
Regulatory Action Initiated By: HEARING PANEL

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 04/30/1993

Docket/Case Number: 92-133

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: EFFECTED TRANSACTIONS IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WHICH WERE UNSUITABLE IN THAT SUCH TRANSACTIONS RESULTED IN AN EXCESSIVE CONCENTRATION OF ONE INVESTMENT, LIMITED PARTNERSHIPS.

Current Status: Final

Resolution: Decision

Resolution Date: 06/12/1993

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: CENSURE, 30 DAY SUSPENSION AND \$5,000 FINE.

Regulator Statement THE SUSPENSION IMPOSED IS TO BE EFFECTIVE JUNE 12, 1993.

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Reporting Source: Individual
Regulatory Action Initiated By: COURT (HEARING PANEL)

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 04/30/1993

Docket/Case Number: 92-133

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: EFFECTED TRANSACTIONS IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WHICH WERE UNSUITABLE IN THAT SUCH



TRANSACTIONS RESULTED IN AN EXCESSIVE CONCENTRATION OF ONE INVESTMENT, LIMITED PARTNERSHIPS. NO DAMAGES SPECIFIED.

Current Status:

Final

Resolution:

Decision

Resolution Date:

06/12/1993

Sanctions Ordered:

Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

CENSURE, 30 DAY SUSPENSION AND \$5,000 FINE. THE SUBJECT WAS NOT WANTED FOR PROSECUTION.

Broker Statement

RE: #5 ABOVE - THIS PROCEEDING ACTUALLY ORIGINATED IN MARCH OF 1985 WITH THE FILING OF A CIVIL SUIT - THE CIVIL SUIT WAS SETTLED IN AUG OF 1990. THE NYSE COMPLAINT GREW OUT OF THE CIVIL SUIT - HEARING WAS IN 6/92 AND 9/92 - I WAS NOTIFIED OF THE DECISION IN APR OF 1993. THERE WERE 6 COMPLAINTS IN THE NYSE FILING - OF WHICH I WAS FOUND INNOCENT. THE SUSPENSION WAS A RESULT OF THE 6TH COMPLAINT EXPLAINED IN #7.



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: EDWARD JONES

Allegations: CLIENT STATES, AT THE RECOMMENDATION OF STEVENS, HE SOLD SHARES OF MEDTRONIC AND PURCHASED SHARES OF ATMEL. CLIENT FURTHER STATES HE HAS LOST APPROXIMATELY \$8,000 AS A RESULT OF FOLLOWING ADVICE RECEIVED FROM STEVENS AND BELIEVES STEVENS IS RESPONSIBLE FOR HIS LOSSES.

Product Type: Equity - OTC

Alleged Damages: \$8,000.00

Customer Complaint Information

Date Complaint Received: 01/23/2003

Complaint Pending? No

Status: Denied

Status Date: 06/06/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

IR INDICATED THAT IN OCTOBER 2000, HE RECOMMEND THE PURCHASE OF ATMEL AND SUGGESTED THE CLIENT SELL SHARES OF MEDTRONIC TO PAY FOR THE PURCHASE. IR STATED THE CLIENT HAD MENTIONED THAT HIS SHARES OF MEDTRONIC HAD NOT DONE VERY WELL, THEREFORE IR STATED HE RECOMMENDED CLIENT SELL THE MEDTRONIC BASED ON THE CLIENT'S COMMENTS AND THE FACT THAT THERE WAS NO OTHER MONEY AVAILABLE IN THE ACCOUNT TO PAY FOR THE PURCHASE OF ATMEL. AT THE TIME OF THIS PURCHASE, THE FIRM HAD A BUY RECOMMENDATION ON AMTEL. A REVIEW OF CLIENT'S ACCOUNT INDICATES AT THAT TIME THAT THE PURCHASE OF ATMEL WAS APPROPRIATE FOR THE STATED OBJECTIVES AS LISTED ON THE ACCOUNT. WHILE THE FIRM UNDERSTANDS THE CLIENT'S DISAPPOINTMENT IN THE DECLINE IN VALUE OF ATMEL, IT DOES APPEAR THE DECLINE WAS DUE TO MARKET FLUCTUATION. IT WOULD APPEAR THAT THIS ACCOUNT WAS HANDLED APPROPRIATELY BY IR.

Disclosure 2 of 2

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

Allegations: FRAUD AND VIOLATION OF STATE AND FEDERAL SECURITIES LAWS IN THE SALE OF VARIOUS INVESTMENTS. NO SPECIFIC DOLLAR AMOUNT IS REQUESTED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: P-85-14-CA

Date Notice/Process Served: 03/05/1985

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/06/1990

Monetary Compensation Amount: \$1,905,000.00

Individual Contribution Amount:

Broker Statement SETTLEMENT OF \$1,905,000
Not Provided



End of Report

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