



IAPD Report

LAWRENCE KELLOGG MARSH III

CRD# 842082

<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

LAWRENCE KELLOGG MARSH III (CRD# 842082)

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 **01/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/06/2013
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/14/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	MORGAN STANLEY	149777	WINTER PARK, FL	06/01/2009 - 11/26/2013
IA	MORGAN STANLEY	149777	WINTER PARK, FL	06/01/2009 - 11/26/2013
IA	CITIGROUP GLOBAL MARKETS INC.	7059	WINTER PARK, FL	06/10/1993 - 06/01/2009

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
Civil 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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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 Florida	Investment Adviser Representative	Approved	01/14/2014
IA Texas	Investment Adviser Representative	Restricted Approval	04/16/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1560 ORANGE AVENUE
SUITE 650
WINTER PARK, FL 32789

Employment 2 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	12/06/2013
B California	Agent	Approved	12/09/2013
B Connecticut	Agent	Approved	05/29/2019
B District of Columbia	Agent	Approved	08/08/2017
B Florida	Agent	Approved	12/10/2013



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	12/09/2013
B Hawaii	Agent	Approved	12/09/2013
B Idaho	Agent	Approved	12/09/2013
B Iowa	Agent	Approved	10/20/2022
B Louisiana	Agent	Approved	07/07/2014
B Maryland	Agent	Approved	03/07/2018
B Michigan	Agent	Approved	12/09/2013
B New York	Agent	Approved	07/21/2023
B North Carolina	Agent	Approved	12/09/2013
B Ohio	Agent	Approved	12/09/2013
B Oregon	Agent	Approved	02/22/2018
B Pennsylvania	Agent	Approved	12/09/2013
B Texas	Agent	Approved	01/15/2021
B Vermont	Agent	Approved	01/05/2017
B Virginia	Agent	Approved	12/09/2013

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
1560 Orange Avenue
Suite 650
Winter Park, FL 32789



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
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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
 Interest Rate Options Examination (S5)	Series 5	10/17/1981
 General Securities Representative Examination (S7)	Series 7	08/20/1977

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/24/1991
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/11/1983

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
B	06/01/2009 - 11/26/2013	MORGAN STANLEY	CRD# 149777	WINTER PARK, FL
IA	06/01/2009 - 11/26/2013	MORGAN STANLEY	CRD# 149777	WINTER PARK, FL
IA	06/10/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WINTER PARK, FL
B	06/05/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WINTER PARK, FL
B	05/16/1991 - 04/29/1993	THE ROBINSON-HUMPHREY COMPANY INC.	CRD# 723	ATLANTA, GA
B	05/21/1979 - 05/20/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/19/1979 - 11/26/1979	LOEB PARTNERS	CRD# 7534	
B	09/26/1978 - 06/21/1979	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	09/01/1977 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
01/2014 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser	Y	WINTER PARK, FL, United States
11/2013 - Present	Raymond James Financial Services, Inc	Financial Advisor	Y	WINTER PARK, FL, 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: Winter Park Wealth Group Address: 1560 Orange Ave Ste 650, Winter Park, FL, 32789, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 11/15/2013 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor



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
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Civil Event	1
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Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source: Regulator
Initiated By: SECURITIES AND EXCHANGE COMMISSION

Relief Sought:

Other Relief Sought:

Date Court Action Filed: 04/20/1983

Product Type:

Other Product Types:

Employing firm when activity occurred which led to the action:

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 04/20/1983

Sanctions Ordered or Relief Granted: Cease and Desist/Injunction
Disgorgement/Restitution

Other Sanctions:

Sanction Details:

Regulator Statement SEC NEWS DIGEST, APRIL 21, 1983, ISSUE 83-77. ON APRIL 20, 1983, A COMPLAINT WAS FILED IN THE US DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK AGAINST GEORGE J. GASPER, JOSEPH F. SCHRECK, TODD B. MARSH, LAWRENCE K. MARSH, EUGENE L. HALL, KIM B. STIRES, DONALD RITGER, KENNETH LEACH, AND MARK YAGER. THE



COMPLAINT ALLEGES VIOLATIONS OF THE ANTIFRAUD AND TENDER OFFER PROVISIONS OF THE SECURITIES LAWS IN CONNECTION WITH THE OFFER AND SALE OF CLARK OIL AND REFINING CORPORATION STOCK, WHILE IN POSSESSION OF MATERIAL, NON- PUBLIC INFORMATION DURING THE PERIOD OF DECEMBER 1979-JANUARY 1980. SIMULTANEOUSLY WITH THE FILING OF THE COMPLAINT, SCHRECK, STIRES, T. MARSH, L. MARSH, LEACH, AND YAGER CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TO AN ORDER OF PERMANENT INJUNCTION AGAINST FURTHER VIOLATIONS AND TO DISGORGE PROFITS AND COMMISSIONS REALIZED BY THEM. (SEC V. GEORGE J. GASPER, ET AL., 83-CIV-3037, CBM, SDNY)(LR-9970)

Reporting Source: Individual

Initiated By: THE SECURITIES AND EXCHANGE COMMISSION

Relief Sought:

Other Relief Sought:

Date Court Action Filed: 04/20/1983

Product Type:

Other Product Types:

Court Details: 83 CIVIL

Employing firm when activity occurred which led to the action:

Allegations: ALLEGED DISCLOSURE OF NON-PUBLIC INFORMATION CONCERNING A NEW YORK EXCHANGE LISTED STOCK IN 1979 TO A FEW CLIENTS INVOLVING A PERSONAL PROFIT OF \$2,947.00.

Current Status: Final

Resolution: Consent

Resolution Date: 04/20/1983

Sanctions Ordered or Relief Granted: Cease and Desist/Injunction
Disgorgement/Restitution

Other Sanctions:

Sanction Details: AN ORDER OF PERMANENT INJUNCTION WAS ENTERED BY THE U.S. DISTRICT COURT- SOUTHERN DISTRICT OF NEW YORK, BASED UPON A CONSENT TO SETTLEMENT. NO FINDING OF LIABILITY WAS MADE.

Broker Statement I AGREED TO SETTLE THE SEC ACTION IN ORDER TO AVOID PAYING THE PROHIBITIVE LEGAL FEES WHICH WOULD HAVE BEEN INCURRED IN DEFENDING THE ACTION. I DID NOT KNOW THAT THE RECOMMENDATION TO PURCHASE THE STOCK WAS BASED ON NON-PUBLIC INFORMATION, AS THE STOCK HAD BEEN PREVIOUSLY DISCUSSED IN FINANCIAL JOURNALS AND TELEVISION AS A TAKE OVER CANDIDATE. THERE WAS NO FINDING BY THE COURT OF ANY WRONGDOING ON MY PART.



(SEE ATTACHED SEC COMPLAINT)



End of Report

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