



IAPD Report

CHARLES BENSON CANNON

CRD# 846338

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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

CHARLES BENSON CANNON (CRD# 846338)

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 **10/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/08/2022
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/09/2022

QUALIFICATIONS

This representative is currently registered in **22** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	MEMPHIS, TN	02/05/2004 - 06/13/2022
B	WELLS FARGO CLEARING SERVICES, LLC	19616	MEMPHIS, TN	01/20/1999 - 06/13/2022
B	PRUDENTIAL SECURITIES INCORPORATED	7471	MEMPHIS, TN	01/30/1990 - 01/19/1999

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
Termination	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 9 jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	06/08/2022
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	06/08/2022
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B FINRA	General Securities Representative	Approved	06/08/2022



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	06/08/2022
B Investors' Exchange LLC	General Securities Representative	Approved	06/08/2022
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	06/08/2022
B MEMX LLC	General Securities Representative	Approved	06/08/2022
B MEMX LLC	General Securities Sales Supervisor	Approved	06/08/2022
B MIAX PEARL, LLC	General Securities Representative	Approved	06/08/2022
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	06/08/2022
B NYSE American LLC	General Securities Representative	Approved	06/08/2022
B NYSE American LLC	General Securities Sales Supervisor	Approved	06/08/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	06/08/2022
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B NYSE National, Inc.	General Securities Representative	Approved	06/08/2022
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	06/08/2022
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/08/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	06/08/2022
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	06/08/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/08/2022



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/08/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/08/2022
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/08/2022
B Nasdaq Stock Market	General Securities Representative	Approved	06/08/2022
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/08/2022
B Nasdaq Texas, LLC	General Securities Representative	Approved	06/08/2022
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	06/08/2022
B New York Stock Exchange	General Securities Representative	Approved	06/08/2022
B New York Stock Exchange	General Securities Sales Supervisor	Approved	06/08/2022
B Alabama	Agent	Approved	06/15/2022
B Arkansas	Agent	Approved	06/08/2022
B Florida	Agent	Approved	06/09/2022
B Georgia	Agent	Approved	06/08/2022
B Illinois	Agent	Approved	06/08/2022
B Maryland	Agent	Approved	06/08/2022
B Mississippi	Agent	Approved	06/08/2022
B Tennessee	Agent	Approved	06/08/2022
IA Tennessee	Investment Adviser Representative	Approved	06/10/2022
B Texas	Agent	Approved	06/09/2022



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	06/09/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
6815 Poplar Avenue
Suite 210
Germantown, TN 38138

RBC CAPITAL MARKETS, LLC
Memphis, TN






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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/27/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	07/01/1988
 General Securities Representative Examination (S7)	Series 7	11/19/1977

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/31/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/1981

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	02/05/2004 - 06/13/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MEMPHIS, TN
B	01/20/1999 - 06/13/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MEMPHIS, TN
B	01/30/1990 - 01/19/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	
B	03/16/1983 - 01/19/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/14/1988 - 01/24/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	05/04/1988 - 05/14/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	12/05/1977 - 11/19/1982	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	

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
06/2022 - Present	RBC CAPITAL MARKETS, LLC	REGISTERED REPRESENTATIVE	Y	MEMPHIS, TN, United States
11/2016 - 06/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MEMPHIS, TN, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MEMPHIS, TN, 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.

TRUSTEE FOR TRUSTS CREATED U/W FATHER (15); INV RELATED; NASHVILLE, TN; START 3/14/16; 0.30 HOURS PER MONTH, 0 HOURS DURING TRADING.

CANNON BROS FARM, NOT INV. RELATED, MEMPHIS, TN, 15% OWNERSHIP, START 2/23/2017, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING, FAMILY FARM LAND.



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
Termination	1

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: Individual

Regulatory Action Initiated By: STATE OF TENNESSEE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/17/1983

Docket/Case Number: 83-MISC-8

Employing firm when activity occurred which led to the regulatory action: MORGAN KEEGAN & CO.

Product Type:

Other Product Type(s):

Allegations: TRADING WITHOUT PROPER WRITTEN AUTHORIZATION

Current Status: Final

Resolution: Consent

Resolution Date: 06/17/1983

Sanctions Ordered: Cease and Desist/Injunction
Suspension

Other Sanctions Ordered:

Sanction Details: 90 DAY SUSPENSION ENDING 7/15/83; IT SHOULD BE NOTED THAT THIS ACTION WAS TAKEN BY THE STATE OF TENNESSEE ON



THE SAME EVENT REVIEWED BY THE NASD AND REPORTED ON AN ACCOMPANYING DRP.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/30/1984

Docket/Case Number: NEW-389

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 11/30/1984

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT #NEW-389 FILED 1/30/84, DIST. #5, ALLEGING VIOLATIONS OF ARTICLE 111, SECTIONS 1 AND 15(B) OF THE RULES OF FAIR PRACTICE IN THAT CANNON EXECUTED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT SAID CUSTOMER'S PRIOR WRITTEN AUTHORIZATION AND WITHOUT THE PRIOR APPROVAL OF THE ACCOUNT BY HIS EMPLOYER. ***** DECISION RENDERED 11/30/84, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY CANNON WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$1,000, AND ASSESSED COSTS OF \$50. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THIS DECISION WAS FINAL 11/30/84. ***** 10/24/85, FC# 8969, PAID IN FULL.

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 5

Sanction(s) Sought:

Other Sanction(s) Sought:



Date Initiated: 01/30/1984

Docket/Case Number: NEW-389

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

Product Type:

Other Product Type(s):

Allegations: TRADING WITHOUT PRIOR WRITTEN AUTHORIZATION

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 11/30/1984

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: CENSURED, FINE OF \$1,000, AND ASSESSED COST OF \$5



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MORGAN KEEGAN & CO.
Termination Type:	Permitted to Resign
Termination Date:	11/04/1982
Allegations:	N/A CANNON TOOK DISCRETION IN ACCOUNT'S OF DON DRINKARD RESULTING IN A LOSS OF \$20,000. THE TRADES WERE CANCELLED AND FUNDS RESTORED BY FIRM.
Product Type:	
Other Product Types:	
Broker Statement	PERMITTED TO RESIGN I INADVERTENTLY ANSWERED 22F(4) ON MY U4 AT P-B-S, THIS QUESTION SHOULD BE ANSWERED NO.



End of Report

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