



IAPD Report

ALAN MILES GRIFFIN

CRD# 853835

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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

ALAN MILES GRIFFIN (CRD# 853835)

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 **08/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/15/2018
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/15/2018

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **7** 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	D.A. DAVIDSON & CO.	199	SANTA BARBARA, CA	11/25/2013 - 10/27/2018
IA	D.A. DAVIDSON & CO.	199	SANTA BARBARA, CA	11/25/2013 - 10/27/2018
B	CROWELL WEEDON & CO.	168622	SANTA BARBARA, CA	11/04/2013 - 11/25/2013

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
Customer Dispute	3



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

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/15/2018
B Investors' Exchange LLC	General Securities Representative	Approved	07/21/2025
B MEMX LLC	General Securities Representative	Approved	07/21/2025
B NYSE American LLC	General Securities Representative	Approved	10/15/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	07/21/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	07/21/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/15/2018
B Nasdaq Stock Market	General Securities Representative	Approved	10/15/2018
B New York Stock Exchange	General Securities Representative	Approved	10/15/2018
B Arizona	Agent	Approved	11/23/2018
B California	Agent	Approved	10/15/2018
IA California	Investment Adviser Representative	Approved	10/15/2018
B Hawaii	Agent	Approved	11/16/2018



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	01/19/2024
B New York	Agent	Approved	05/08/2025
B North Carolina	Agent	Approved	05/08/2025
B Oregon	Agent	Approved	10/15/2018

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1216 STATE STREET
SUITE 500
SANTA BARBARA, CA 93101

RAYMOND JAMES & ASSOCIATES, INC.
Santa Barbara, CA






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 - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/22/1982

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	12/11/1982
 General Securities Representative Examination (S7)	Series 7	06/17/1978

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1992
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/18/1992

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	11/25/2013 - 10/27/2018	D.A. DAVIDSON & CO.	CRD# 199	SANTA BARBARA, CA
IA	11/25/2013 - 10/27/2018	D.A. DAVIDSON & CO.	CRD# 199	SANTA BARBARA, CA
B	11/04/2013 - 11/25/2013	CROWELL WEEDON & CO.	CRD# 168622	SANTA BARBARA, CA
IA	11/04/2013 - 11/25/2013	CROWELL WEEDON & CO.	CRD# 168622	SANTA BARBARA, CA
B	11/23/2009 - 11/04/2013	CROWELL, WEEDON & CO.	CRD# 193	SANTA BARBARA, CA
IA	11/23/2009 - 11/04/2013	CROWELL, WEEDON & CO.	CRD# 193	SANTA BARBARA, CA
B	06/01/2009 - 12/14/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SANTA BARBARA, CA
IA	06/01/2009 - 12/14/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SANTA BARBARA, CA
IA	03/18/1996 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SANTA BARBARA, CA
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SANTA BARBARA, CA
B	06/11/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/26/1978 - 06/10/1992	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

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
10/2018 - Present	Raymond James & Associates, Inc.	Registered Associate	Y	Santa Barbara, CA, United States
10/2017 - 10/2018	D.A. DAVIDSON & CO.	SENIOR VICE PRESIDENT, FINANCIAL ADVISOR	Y	SANTA BARBARA, CA, United States
11/2013 - 09/2017	D.A. DAVIDSON & CO.	SVP, BRANCH MANAGER, FINANCIAL ADVISOR	Y	SANTA BARBARA, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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. HEALTHPRIZE TECHNOLOGIES LLC; INVESTMENT-RELATED; 20 MARSHALL ST #220, NORWALK, CT; INTERNET DRUG COMPLIANCE; INVESTOR; STARTING 06/16/2016; NO TIME DEVOTED TO THIS ACTIVITY; NONE.

2. The Scholarship Foundation of Santa Barbara

Address: Santa Barbara, CA

Nature of the Business: Non Profit Org. - Founder/Leadership

Position/Title: Director

Investment Related: Yes

Start Date: 12/04/2020

Hours per month devoted to this business: 8

Hours per month devoted to this business during trading hours: 2

Description of duties: I serve on the Student Programs and Finance committees.



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	D.A. Davidson & Co.
Allegations:	Client alleges that two biotech stocks purchased were not in line with her stated risk profile and that the transactions were effected without her knowledge. She further alleged damages of \$18,000 plus.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$18,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/04/2016
Complaint Pending?	No
Status:	Settled
Status Date:	01/30/2017
Settlement Amount:	\$5,744.00
Individual Contribution Amount:	\$0.00

**Disclosure 2 of 3**

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENCE
Product Type: Other
Other Product Type(s): UNKNOWN TYPE OF SECURITIES
Alleged Damages: \$1,400,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #99-00143](#)

Date Notice/Process Served: 01/05/1999

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/11/2000

Disposition Detail: >08/24/00 THE CLAIMANT IS AWARDED AND RESPONDENTS, JOINTLY AND SEVERALLY, SHALL PAY TO CLAIMANT THE SUM OF \$650,000.00, IN DAMAGES. ALL CLAIMS FOR PUNITIVE DAMAGES ARE DENIED.

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Reporting Source: Individual

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

Allegations: FAILURE TO SUPERVISE ALLEGED DAMAGES: \$1,400,000 PRODUCT;EQUITY LISTED FIRM:SB. TIME PERIOD JUNE 1995-JUNE 1998.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,400,000.00

Customer Complaint Information

Date Complaint Received: 02/11/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/11/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 99-00143](#)

Date Notice/Process Served: 02/11/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/14/2000

Monetary Compensation Amount: \$797,900.68

Individual Contribution Amount:

Broker Statement GRIFFIN PLACED RESTRICTIONS ON THE ACCOUNT DURING 1998 AND SPOKE TO THE CLIENT TWICE, EVIDENCING HIS SUPERVISION OF THE ACCOUNT.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGATIONS OF MISREPRESENTATIONS REGARDING RISKS & UNSUITABLE RECOMMENDATIONS WEREN'T SPECIFICALLY MADE AGAINST GRIFFIN. HE WAS NAMED IN COMPLAINT ONLY BECAUSE HE WAS THE BRANCH MANAGER. ALLEGED DAMAGES WERE \$32,288.

Product Type:

Alleged Damages: \$32,288.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 91-03597

Date Notice/Process Served: 01/10/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/06/1992

Monetary Compensation \$17,500.00



Amount:
Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: 187849
Date Notice/Process Served: 07/18/1991
Litigation Pending? No
Disposition: Judgment (other than monetary)
Disposition Date: 12/13/1991

Firm Statement
SETTLEMENT OF \$17.5K PAID ON 7/6/92.
GRIFFIN WAS NAMED IN COMPLAINT ONLY AS THE BRANCH
MANAGER. HE DIDN'T MAKE ANY REPRESENTATIONS OR
RECOMMENDATIONS
TO THE CLIENT, NOR DID HE SERVICE HER ACCOUNT IN ANY WAY.
RESPONDENTS CONTINUE TO DENY ALL ALLEGATIONS BUT HAVE
DECIDED
TO SETTLE MATTER IN ORDER TO AVOID ANY FURTHER COSTS OR THE
UNCERTAINTY OF LITIGATION. GRIFFIN DIDN'T CONTRIBUTE TO
SETTLEMENT. SHOULD YOU HAVE ANY QUESTIONS REGARDING THE
ABOVE
MATTER, PLEASE CONTACT ELLEN FONG AT (415) 955-7322.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGATIONS OF MISREPRESENTATION REGARDING RISKS & UNSUITABLE RECOMMENDATIONS WEREN'T SPECIFICALLY MADE AGAINST MR. GRIFFIN. ALLEGED DAMAGES: \$32,288.00

Product Type:

Alleged Damages: \$32,288.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 91-03597

Date Notice/Process Served: 01/10/1992



Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/06/1992
Monetary Compensation Amount: \$17,500.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: 187849
Date Notice/Process Served: 07/18/1991
Litigation Pending? No
Disposition: Judgment (other than monetary)
Disposition Date: 12/13/1991

Broker Statement

MR. GRIFFIN WAS NAMED IN THE COMPLAINT BECAUSE HE WAS THE BRANCH MANAGER. HE DID NOT MAKE ANY RECOMMENDATIONS OR SERVICE THE ACCOUNT. MR. GRIFFIN DID NOT CONTRIBUTE TO THE SETTLEMENT OF \$17.5 K PAID ON 7/6/92. GRIFFIN WAS NAMED IN THE COMPLAINT ONLY AS THE BRANCH MANAGER. HE DIDN'T MAKE ANY REPRESENTATIONS OR RECOMMENDATIONS TO THE CLIENT, NOR DID HE SERVICE HER ACCOUNT IN ANY WAY. RESPONDENTS CONTINUE TO DENY ALL ALLEGATIONS BUT HAVE DECIDED TO SETTLE THE MATTER IN ORDER TO AVOID ANY FURTHER COSTS OR THE UNCERTAINTY OF LITIGATION. SHOULD YOU HAVE ANY QUESTIONS REGARDING THE ABOVE MATTER, PLEASE CONTACT: ELLEN FONG AT (415)955-7322.



End of Report

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