



## IAPD Report

# GERARD RUSSELL RABADEAU

CRD# 865541

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	9



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

### GERARD RUSSELL RABADEAU (CRD# 865541)

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 **01/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/07/2018
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	09/07/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	WESTFIELD, NJ	07/01/2003 - 09/11/2018
<b>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	WESTFIELD, NJ	07/01/2003 - 09/11/2018
<b>IA</b>	PRUDENTIAL SECURITIES INCORPORATED	7471	WESTFIELD, NJ	07/18/2002 - 07/01/2003

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
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 **24** 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>B</b>	FINRA	General Securities Representative	Approved	09/07/2018
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	09/07/2018
<b>B</b>	Alabama	Agent	Approved	08/04/2020
<b>B</b>	Arizona	Agent	Approved	09/07/2018
<b>B</b>	California	Agent	Approved	09/07/2018
<b>B</b>	Colorado	Agent	Approved	09/07/2018
<b>B</b>	Connecticut	Agent	Approved	09/07/2018
<b>B</b>	Florida	Agent	Approved	09/07/2018
<b>B</b>	Hawaii	Agent	Approved	08/31/2022
<b>B</b>	Idaho	Agent	Approved	09/07/2018
<b>B</b>	Illinois	Agent	Approved	09/10/2018
<b>B</b>	Indiana	Agent	Approved	11/05/2020
<b>B</b>	Maryland	Agent	Approved	09/17/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Massachusetts	Agent	Approved	10/02/2018
<b>B</b> Michigan	Agent	Approved	09/07/2018
<b>B</b> Minnesota	Agent	Approved	08/20/2024
<b>B</b> New Jersey	Agent	Approved	09/07/2018
<b>B</b> New York	Agent	Approved	09/07/2018
<b>B</b> North Carolina	Agent	Approved	09/07/2018
<b>B</b> Pennsylvania	Agent	Approved	09/07/2018
<b>B</b> Rhode Island	Agent	Approved	12/18/2019
<b>B</b> South Carolina	Agent	Approved	09/26/2018
<b>B</b> Tennessee	Agent	Approved	09/10/2024
<b>B</b> Texas	Agent	Approved	05/29/2020
<b>B</b> Virginia	Agent	Approved	09/07/2018
<b>B</b> Washington	Agent	Approved	09/25/2018

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES

324 EAST BROAD ST  
WESTFIELD, NJ 07090

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716

Firm ID#: 149018



### Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	09/27/2018
IA Texas	Investment Adviser Representative	Restricted Approval	05/27/2020

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
324 EAST BROAD ST  
WESTFIELD, NJ 07090



## 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, 4 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	03/09/1993

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	01/31/1996
General Securities Representative Examination (S7)	Series 7	12/17/1983
Registered Representative Examination (S1)	Series 1	04/20/1979

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/20/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1984



## 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	07/01/2003 - 09/11/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTFIELD, NJ
IA	07/01/2003 - 09/11/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTFIELD, NJ
IA	07/18/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	WESTFIELD, NJ
B	01/17/1984 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	12/13/1982 - 04/08/1985	NPC SECURITIES, INCORPORATED	CRD# 10121	
B	07/18/1980 - 03/06/1984	HIGHAM-WHITRIDGE SECURITIES, INC.	CRD# 6161	
B	11/24/1980 - 10/20/1982	PEBSCO SECURITIES CORP.	CRD# 7110	
B	05/01/1979 - 06/07/1980	H. C. COPELAND AND ASSOCIATES EQUITIES, INC.	CRD# 7447	

### 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
09/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISER REP	Y	WESTFIELD, NJ, United States
09/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	WESTFIELD, NJ, United States
11/2016 - 09/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	WESTFIELD, NJ, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WESTFIELD, NJ, 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: Rabadeau wealth group Address: 324 E Broad St, Westfield, NJ, 07090, United States Activity Type:



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Support Company - Owner Position/Title: Other Investment Related: No Start Date: 09/07/2018 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: co owner



## 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
Termination	1

### 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:** WACHOVIA SECURITIES, LLC

**Allegations:** MONTANA CLIENT CLAIMS UNAUTHORIZED MUTUAL FUND TRADE IN A JOINT ACCOUNT, CLAIMS SAME TRADE UNSUITABLE RESULTING IN UNREALIZED LOSS OF APPROXIMATELY \$40,000. THE ONLY INVESTMENT MADE FOR THE ACCOUNT WAS A \$96,000 PURCHASE OF THE LORD ABBETT TAX FREE HIGH YIELD MUNI FUND (HYMCX) ON JANUARY 30,2007. CLIENT ALSO CLAIMS THERE WAS A DELAY IN PROCESSING AN IRA DISTRIBUTION THAT RESULTED IN A \$30,000 TAX LIABILITY.

**Product Type:** Mutual Fund

**Alleged Damages:** \$100,000.00

**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:** 03/26/2009

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 05/13/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE FIRM DENIED THE COMPLAINT ON MAY 13, 2009.

AS PART OF HIS ESTATE PLAN, DECEDENT, AND HIS SON, POA, AGREED TO GIFT \$12,000 PER YEAR FOR TWO YEARS TO EACH OF DECEDENT'S FOUR CHILDREN IN A FOUR PARTY JOINT ACCOUNT. THE POA AGREED TO USE A MUNICIPAL BOND FUND TO REDUCE INCOME TAX LIABILITY FOR THE RECIPIENTS. POA, REQUESTED A REGULAR DISTRIBUTION FROM HIS FATHER'S IRA ON 10/3/07. FA WAS NOT NOTIFIED OF THE FATHER'S 9/23/07 DEATH UNTIL 12/11/07. THE FINAL DISTRIBUTION OF THE IRA ON 10/20/08 REVEALED THE TAX CONSEQUENCES OF THE POA'S 9/07 MISREPRESENTATION. THE FIRM WAS UNABLE TO SATISFY THE POA'S 11/17/08 REQUEST FOR A REVISED 2007 1009R.

### Disclosure 2 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 9/88 TO 5/90. GERARD R. RABADEAU WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES ARE ALLEGED, BUT THE AMOUNT OF ACTUAL LOSS (OUT-OF-POCKET) IS: \$8,114

**Product Type:**

**Alleged Damages:** \$8,114.00

### Customer Complaint Information

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$28,201.00

**Individual Contribution Amount:**

**Broker Statement**

A SETTLEMENT FOR THE ABOVE CLIENT HAS BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT OF THE SETTLEMENT IS AS FOLLOWS: \$28,201 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE



CLAIM FORMS WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI AND THE SEC, THE NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

### Disclosure 3 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASE OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 05/87 TO 10/90. GERARD RABADEAU WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES ARE ALLEGED, BUT THE AMOUNT OF ACTUAL LOSS (OUT-OF-POCKET LOSS) IS APPROXIMATELY: \$72,530

**Product Type:**

**Alleged Damages:** \$72,530.00

### Customer Complaint Information

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$101,921.00

**Individual Contribution Amount:**

**Broker Statement**

A SETTLEMENT FOR THE ABOVE CLIENT HAS BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT OF THE SETTLEMENT IS APPROXIMATELY FOLLOWS: \$101,921 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE-REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI AND THE SEC, THE NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.



## 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:** PEBSCO SECURITIES CORP  
**Termination Type:** Discharged  
**Termination Date:** 08/31/1982

**Allegations:**

**Product Type:**

**Other Product Types:**

### Broker Statement

RABADEAU WAS DISCHARGED FROM PEBSCO SECURITIES CORP. A REVIEW OF THIS MATTER WAS CONDUCTED BY THE NASD DBCC FOR DISTRICT #4. ON 2/3/83, THE DISTRICT ADVISED THAT NO FURTHER ACTION WAS WARRANTED.



## End of Report

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