



IAPD Report

EUGENE TEMPLE MILLSAP III

CRD# 869210

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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

EUGENE TEMPLE MILLSAP III (CRD# 869210)

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 **01/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **14** 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	MORGAN KEEGAN & COMPANY, INC.	4161	MONTGOMERY, AL	06/10/1991 - 02/13/2013
B	MORGAN KEEGAN & COMPANY, INC.	4161	MONTGOMERY, AL	06/26/1990 - 02/13/2013
B	GEORGE M. WOOD & COMPANY, INC.	3799	MONTGOMERY, AL	01/14/1985 - 07/20/1990

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	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 **14** 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	Financial and Operations Principal	Approved	02/13/2013
B FINRA	General Securities Principal	Approved	02/13/2013
B FINRA	General Securities Representative	Approved	02/13/2013
B FINRA	Operations Professional	Approved	10/01/2018
B Investors' Exchange LLC	Financial and Operations Principal	Approved	11/14/2025
B Investors' Exchange LLC	General Securities Principal	Approved	11/14/2025
B Investors' Exchange LLC	General Securities Representative	Approved	11/14/2025
B MEMX LLC	Financial and Operations Principal	Approved	11/14/2025
B MEMX LLC	General Securities Principal	Approved	11/14/2025
B MEMX LLC	General Securities Representative	Approved	11/14/2025
B NYSE American LLC	Financial and Operations Principal	Approved	02/13/2013
B NYSE American LLC	General Securities Principal	Approved	02/13/2013
B NYSE American LLC	General Securities Representative	Approved	02/13/2013



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	Financial and Operations Principal	Approved	11/14/2025
B NYSE Arca, Inc.	General Securities Principal	Approved	11/14/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	11/14/2025
B NYSE Texas, Inc.	Financial and Operations Principal	Approved	11/14/2025
B NYSE Texas, Inc.	General Securities Principal	Approved	11/14/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	11/14/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	03/21/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/21/2013
B Nasdaq PHLX LLC	Financial and Operations Principal	Approved	11/14/2025
B Nasdaq Stock Market	Financial and Operations Principal	Approved	02/13/2013
B Nasdaq Stock Market	General Securities Principal	Approved	02/13/2013
B Nasdaq Stock Market	General Securities Representative	Approved	02/13/2013
B New York Stock Exchange	Financial and Operations Principal	Approved	02/13/2013
B New York Stock Exchange	General Securities Principal	Approved	02/13/2013
B New York Stock Exchange	General Securities Representative	Approved	02/13/2013
B Alabama	Agent	Approved	02/13/2013
IA Alabama	Investment Adviser Representative	Approved	02/13/2013
B Arkansas	Agent	Approved	02/13/2013
B California	Agent	Approved	02/13/2013



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	02/07/2020
B District of Columbia	Agent	Approved	02/13/2013
B Florida	Agent	Approved	02/13/2013
B Georgia	Agent	Approved	02/13/2013
IA Georgia	Investment Adviser Representative	Approved	08/09/2019
B Hawaii	Agent	Approved	02/13/2018
B Mississippi	Agent	Approved	02/13/2013
B North Carolina	Agent	Approved	02/13/2013
B Ohio	Agent	Approved	04/24/2020
B Tennessee	Agent	Approved	07/26/2021
B Texas	Agent	Approved	02/13/2013
IA Texas	Investment Adviser Representative	Restricted Approval	03/12/2014
B Virginia	Agent	Approved	02/13/2013

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
7460 HALCYON POINTE DRIVE
SUITE #101
MONTGOMERY, AL 36117

RAYMOND JAMES & ASSOCIATES, INC.
Sea Island, GA

RAYMOND JAMES & ASSOCIATES, INC.
MONTGOMERY, AL





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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Financial and Operations Principal Examination (S27)	Series 27	01/02/2023

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/15/1999
 General Securities Representative Examination (S7)	Series 7	07/21/1979

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1992



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
IA	06/10/1991 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MONTGOMERY, AL
B	06/26/1990 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MONTGOMERY, AL
B	01/14/1985 - 07/20/1990	GEORGE M. WOOD & COMPANY, INC.	CRD# 3799	
B	07/27/1979 - 12/31/1982	GEORGE M. WOOD & COMPANY, INC.	CRD# 3799	

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
02/2013 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	MONTGOMERY, AL, 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: Gascoigne Capital LLC Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 07/30/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: General and Limited Partner
- (2)Name of Business: Hillwood Neighborhood Association Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Officer - President Investment Related: No Start Date: 07/11/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: President of Hillwood Neighborhood Association
- (3)Name of Business: Millsap Family LLLP Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 07/02/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: General Partner
- (4)Name of Business: Millsap Opportunity Fund Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Real Estate Brokerage/ Agent or Development Position/Title: Investment Related: No Start Date: 10/29/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
- (5)Name of Business: Millsap Search Fund LLC Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Private Investment/Private Securities Transaction(PST) Position/Title: Investment Related: No Start Date: 01/01/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
- (6)Name of Business: Montala LLC Address: 1713 Pineneedle Rd., Montgomery, AL, 36106, United States Activity Type: Other Position/Title: Owner/Proprietor Investment Related: No Start Date: 02/12/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Limited Partner
- (7)Name of Business: Montgomery Quarterback Club Address: Remote Location, Montgomery, AL, 36117, United States Activity



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: No
Start Date: 06/16/2025 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Advisory Board



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	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 1

Reporting Source: Regulator

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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/21/1993

Docket/Case Number: C05930039

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 09/21/1993

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON SEPTEMBER 21, 1993, DISTRICT NO. 5 NOTIFIED E. TEMPLE MILLSAP, III THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT



NO. C05930039 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$2,500 - (ARTICLE III, SECTIONS 1 AND 28 OF THE RULES OF FAIR PRACTICE - IN CONTRAVENTION OF THE BOARD OF GOVERNORS FREE-RIDING AND WITHHOLDING INTERPRETATION, RESPONDENT MILLSAP PURCHASED SHARES OF A NEW ISSUE THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTER MARKET; AND, ENGAGED IN A PRIVATE SECURITIES TRANSACTION THROUGH ANOTHER MEMBER FIRM WITHOUT HAVING PROVIDED PRIOR WRITTEN NOTICE TO AND HAVING RECEIVED APPROVAL FROM HIS MEMBER FIRM).
\$2,500.00 PAID ON 10/28/93 INVOICE #93-05-768

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 5 DBCC

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/21/1993

Docket/Case Number: C05930039

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

Product Type:

Other Product Type(s):

Allegations: WIFE PURCHASED FOR HER PERSONAL ACCOUNT SHARES OF A HOT ISSUE IN VIOLATION OF FREE-RIDING AND WITHHOLDING INTERPRETATION OF ARTICLE III, SECTION 1 OF NASD'S RULES OF FAIR PRACTICE.

Current Status: Final

Resolution: Consent

Resolution Date: 09/21/1993

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: AWC CENSURE AND \$2500.00 FINE.

Broker Statement PRIOR TO WIFE'S PURCHASE OF SHARES OF THE HOT ISSUE FOR HER PERSONAL ACCOUNT MR. MILLSAP CONTACTED THE NASD AND INQUIRED AS TO WHETHER SUCH A PURCHASE BY HIS WIFE WOULD VIOLATE THE FREE-RIDING AND WITHHOLDING INTERPRETATION. HE WAS TOLD BY THE NASD THAT BECAUSE NO BROKER/DEALER WAS INVOLVED IN THE INITIAL PUBLIC OFFERING OF THE STOCK, A PURCHASE BY HIS WIFE OF THE HOT ISSUE WOULD NOT VIOLATE THE FREE-RIDING AND



WITHHOLDING INTERPRETATION. BASED ON HIS UNDERSTANDING THAT A BROKER/DEALER WAS NOT INVOLVED IN THE PUBLIC OFFERING OF THE STOCK, AND HIS CONVERSATION WITH THE NASD, MR. MILLSAP ALLOWED HIS WIFE TO PURCHASE THE HOT ISSUE.



End of Report

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