IAPD Report

WILLIAM ELDREDGE SWANSON JR

CRD# 870561

Section Title | Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

WILLIAM ELDREDGE SWANSON JR (CRD# 870561)

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 **08/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/25/2005
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	ASPEN, CO	10/05/2005 - 01/02/2009
IA	MORGAN STANLEY	7556	CENTENNIAL, CO	01/04/2002 - 08/24/2005
B	MORGAN STANLEY DW INC.	7556	PURCHASE, NY	11/07/2001 - 08/24/2005

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
Criminal	1
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 **15** 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	FINRA	General Securities Representative	Approved	08/25/2005
B	Arizona	Agent	Approved	08/18/2009
B	California	Agent	Approved	08/05/2024
B	Colorado	Agent	Approved	08/25/2005
B	Connecticut	Agent	Approved	08/25/2005
B	Delaware	Agent	Approved	01/09/2006
B	Florida	Agent	Approved	04/22/2021
B	Louisiana	Agent	Approved	01/12/2015
B	Massachusetts	Agent	Approved	08/25/2005
B	Nevada	Agent	Approved	05/24/2011
B	New Hampshire	Agent	Approved	08/27/2020
B	New York	Agent	Approved	08/25/2005
B	Pennsylvania	Agent	Approved	01/04/2007

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	06/08/2016
B	Vermont	Agent	Approved	05/17/2019
B	Virginia	Agent	Approved	12/12/2008

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
307 Aspen Airport Business Center
Suite P
ASPEN, CO 81611

Employment 2 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	Colorado	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
307 Aspen Airport Business Center
Suite P
Aspen, CO 81611

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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Foreign Currency Options Examination (S15)	Series 15	04/25/1983
B	Interest Rate Options Examination (S5)	Series 5	10/17/1981
B	General Securities Representative Examination (S7)	Series 7	08/18/1979

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/16/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1980

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/05/2005 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ASPEN, CO
IA	01/04/2002 - 08/24/2005	MORGAN STANLEY	CRD# 7556	CENTENNIAL, CO
B	11/07/2001 - 08/24/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	07/31/1993 - 11/16/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	08/27/1979 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, 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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	ASPEN, CO, United States
08/2005 - Present	HIGH COUNTRY FINANCIAL INC.	INVESTMENT ADVISER	N	ASPEN, CO, United States
08/2005 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	ASPEN, CO, 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: Address: 30018 Highway 133, Marble, CO, 81623, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/01/2007 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: bill and collect rents & minor maintenance

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
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	BOULDER CO NA
Charge Date:	10/09/1969
Charge Details:	INVESTIGATION INTO A BURGLARY
Felony?	
Current Status:	Final
Status Date:	10/09/1969
Disposition Details:	THE ATTACHED COURT DOCUEMNTS CONFIRM THAT THIS WAS ONLY AN INVESTIGATION INTO A BURGLARY. THE CLERK OF THE JEFFERSON COUNTY COLORADO COURT FOR THE FIRST JUDICIAL DISTRICT FOUND NO RECORDS OF A BURGLARY CHARGE AGAINST MR SWANSON
Broker Statement	PLEASE ARCHIVE, NONREPORTABLE CRIMINAL MATTER

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:	Raymond James Financial Services,Inc
Allegations:	Unsuitability, Breach of Fiduciary Duty, Breach of Contract, Negligence, Strict Liability, Failure to Supervise
Product Type:	Mutual Fund
Alleged Damages:	$81,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-00231
Filing date of arbitration/CFTC reparation or civil litigation:	01/31/2017

Customer Complaint Information

Date Complaint Received:	01/31/2017
Complaint Pending?	No
Status:	Settled
Status Date:	02/12/2018
Settlement Amount:	$13,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Claimant has entered into a settlement agreement with Raymond James Financial Services, Inc. ("RJFS"), pursuant to which RJFS agreed to pay Claimant $13,000.00 in exchange for a dismissal with prejudice. AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GMI
Allegations:	THE CLIENT COMPLAINED ABOUT UNSUITABLE INVESTMENTS - 6/1/2000 THROUGH 11/5/2001.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$22,763.00

Customer Complaint Information

Date Complaint Received:	01/07/2005
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/02/2005
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	AS REQUESTED, PROVIDED CLIENT WITH INFORMATION TO PURSUE ARBITRATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GMI
Allegations:	THE CLIENT COMPLAINED ABOUT UNSUITABLE INVESTMENTS - 6/1/2000 THROUGH 11/5/2001.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$22,763.00

Customer Complaint Information

Date Complaint Received:	01/07/2005
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/02/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	AS REQUESTED, PROVIDED CLIENT WITH INFORMATION TO PURSUE ARBITRATION.

Disclosure 3 of 3

Reporting Source:	Firm

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

Allegations: THE FIRM RECEIVED A COURTESY COPY OF THE CUSTOMER'S COMPLAINT PRIOR TO OFFICIAL SERVICE, FILED IN THE DISTRICT COURT OF PITKIN COUNTY, COLORADO. CUSTOMER ALLEGES UNSUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD AND FAILURE TO DISCLOSE RISKS REGARDING ANNUITIES DURING MARCH 2000 THROUGH NOVEMBER 2001.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Other

Other Product Type(s): ANNUITY.

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date: 09/27/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 03-00841

Date Notice/Process Served: 03/17/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2004

Monetary Compensation Amount: $50,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Court Details: DISTRICT COURT, CITY AND COUNTY OF PITKIN, CO -CASE #-02CV150.

Date Notice/Process Served: 09/27/2002

Litigation Pending? No

Disposition: Other

Disposition Date: 03/17/2003

Reporting Source: Individual

Employing firm when SALOMON SMITH BARNEY INC.

activities occurred which led to the complaint:

Allegations: THE FIRM RECEIVED A COURTESY COPY OF THE CUSTOMER'S COMPLAINT FILED IN THE DISTRICT COURT OF PITKIN COUNTY, COLORADO. CUSTOMER ALLEGES UNSUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD AND FAILURE TO DISCLOSE RISKS REGARDING ANNUITIES.

Product Type: Other

Other Product Type(s): ANNUITY

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date: 09/27/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 03-00841

Date Notice/Process Served: 03/17/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2004

Monetary Compensation Amount: $50,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Court Details: DISTRICT COURT, CITY AND COUNTY OF PITKIN, CO-CASE # 02CV150

Date Notice/Process Served: 09/27/2002

Litigation Pending? No

Disposition: Other

Disposition Date: 03/17/2003

End of Report

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