

BrokerCheck Report

ROBERT SHAKIB BADER JR

CRD# 3176140

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



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



ROBERT S. BADER JR

CRD# 3176140

Currently employed by and registered with the following Firm(s):

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
7260 VILLAGE PARK AVE
SUITE C
SPRINGDALE, AR 72762
CRD# 6694
Registered with this firm since: 03/29/2018

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
4100 CORPORATE CENTER DRIVE
SUITE 230
SPRINGDALE, AR 72762
CRD# 149018
Registered with this firm since: 03/29/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 19 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B** **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
ROGERS, AR
01/2009 - 04/2018
- IA** **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
01/2009 - 04/2018
- IA** **MORGAN STANLEY & CO. INCORPORATED**
CRD# 8209
NEW YORK, NY
04/2007 - 01/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 19 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Office Address: **880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716**
 Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	Arkansas	Investment Adviser Representative	Approved	03/29/2018
IA	Texas	Investment Adviser Representative	Approved	03/29/2018

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
 Main Office Address: **880 CARILLON PARKWAY
 ST. PETERSBURG, FL 33716**
 Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/29/2018
B	FINRA	General Securities Sales Supervisor	Approved	07/18/2018

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	03/29/2018



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/29/2018
B	Arkansas	Agent	Approved	03/29/2018
B	California	Agent	Approved	03/29/2018
B	Florida	Agent	Approved	03/29/2018
B	Georgia	Agent	Approved	03/29/2018
B	Indiana	Agent	Approved	07/16/2021
B	Kansas	Agent	Approved	03/29/2018
B	Minnesota	Agent	Approved	03/29/2018
B	Mississippi	Agent	Approved	11/02/2021
B	Missouri	Agent	Approved	03/29/2018
B	New York	Agent	Approved	03/29/2018
B	North Carolina	Agent	Approved	01/25/2023
B	Oklahoma	Agent	Approved	03/29/2018
B	Oregon	Agent	Approved	07/02/2021
B	South Dakota	Agent	Approved	07/27/2021
B	Tennessee	Agent	Approved	03/29/2018
B	Texas	Agent	Approved	03/29/2018
B	Washington	Agent	Approved	07/01/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
7260 VILLAGE PARK AVE

Broker Qualifications



Employment 2 of 2, continued

SUITE C
SPRINGDALE, AR 72762

RAYMOND JAMES FINANCIAL SERVICES, INC.

506 S Keeler Ave
Bartlesville, OK 74003



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	07/18/2018
B General Securities Sales Supervisor - Options Module Examination	Series 9	06/13/2018

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	03/10/1999
B General Securities Representative Examination	Series 7	03/01/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/03/1999
B Uniform Securities Agent State Law Examination	Series 63	03/03/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2009 - 04/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR
IA 01/2009 - 04/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR
B 04/2007 - 01/2009	MORGAN STANLEY & CO. INCORPORATED	8209	FAYETTEVILLE, AR
IA 04/2007 - 01/2009	MORGAN STANLEY & CO. INCORPORATED	8209	FAYETTEVILLE, AR
IA 04/1999 - 04/2007	MORGAN STANLEY	7556	FAYETTEVILLE, AR
B 03/1999 - 04/2007	MORGAN STANLEY DW INC.	7556	FAYETTEVILLE, AR

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SPRINGDALE, AR, United States
03/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	SPRINGDALE, AR, United States
03/2018 - Present	Solomon Wealth Group	Support Company/DBA (Owner)	N	Springdale, AR, United States
01/2009 - 03/2018	MERRILL LYNCH	FINANCIAL ADVISOR	Y	ROGERS, AR, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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: Catalyst Holdings, LLC Address: 1317 Kissinger Ave, Springdale, AR, 72762, United States Activity Type: Business Owner



Registration and Employment History

Other Business Activities, continued

Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/20/2020 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Decide what real estate/equipment will be bought/sold, etc.

(2)Name of Business: Cedarbrooke Holdings, LLC Address: 1317 Kissinger Ave, Springdale, AR, 72762, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/20/2020 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Make decisions on what real estate is bought/sold.

(3)Name of Business: RSBJ MGMT, LLC Address: 7260 Village Park Ave Ste C, Springdale, AR, 72762, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: Yes Start Date: 04/02/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is an LLC that receives my personal income from RJFS. My wife and I are 50/50 owners of the LLC. Was set up this way at the recommendation of RJ and my CPA

(4)Name of Business: SWG Operations, LLC dba Solomon Wealth Group Address: 7260 Village Park Ave Ste C, Springdale, AR, 72762, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: Yes Start Date: 03/29/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Financial Advisor/Manager

(5)Name of Business: Wildcat Creek Farms, LLC Address: 1317 Kissinger Ave, Springdale, AR, 72762, United States Activity Type: Agriculture/Farming Position/Title: Other Investment Related: No Start Date: 03/30/2018 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manage the farm

(6)Name of Business: Willow Tree Holdings, LLC Address: 1317 Kissinger Ave, Springdale, AR, 72762, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 03/30/2018 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 0-1 Description of duties:

End of Report



This page is intentionally left blank.