

## BrokerCheck Report

# GAUTAM MUTHUSAMY

CRD# 6222303

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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.

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)



## GAUTAM MUTHUSAMY

CRD# 6222303

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

**B** **RAYMOND JAMES FINANCIAL SERVICES, INC.**  
123 NORTH ANN ARBOR STREET  
SALINE, MI 48176  
CRD# 6694  
Registered with this firm since: 01/08/2016

**IA** **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
123 NORTH ANN ARBOR STREET  
SALINE, MI 48176  
CRD# 149018  
Registered with this firm since: 01/20/2016

## 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
- 39 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

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

- IA** **EDWARD JONES**  
CRD# 250  
ST. LOUIS, MO  
10/2013 - 01/2016
- B** **EDWARD JONES**  
CRD# 250  
ANN ARBOR, MI  
08/2013 - 01/2016

### 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 39 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	Michigan	Investment Adviser Representative	Approved	01/20/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	12/23/2019

### 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	01/08/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/03/2020
B	Alaska	Agent	Approved	11/06/2017



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/06/2017
B	Arkansas	Agent	Approved	01/03/2020
B	California	Agent	Approved	04/15/2019
B	Colorado	Agent	Approved	01/25/2018
B	Connecticut	Agent	Approved	09/18/2018
B	Florida	Agent	Approved	11/06/2017
B	Georgia	Agent	Approved	08/27/2019
B	Hawaii	Agent	Approved	01/03/2020
B	Illinois	Agent	Approved	11/06/2017
B	Indiana	Agent	Approved	11/06/2017
B	Kansas	Agent	Approved	10/12/2021
B	Kentucky	Agent	Approved	01/03/2020
B	Louisiana	Agent	Approved	09/07/2022
B	Maine	Agent	Approved	01/03/2020
B	Maryland	Agent	Approved	02/20/2018
B	Massachusetts	Agent	Approved	11/06/2017
B	Michigan	Agent	Approved	01/08/2016
B	Minnesota	Agent	Approved	12/15/2017
B	Missouri	Agent	Approved	11/06/2017
B	Montana	Agent	Approved	11/06/2017
B	Nevada	Agent	Approved	09/07/2022



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	07/17/2018
B	New Mexico	Agent	Approved	01/03/2020
B	New York	Agent	Approved	02/07/2019
B	North Carolina	Agent	Approved	02/21/2018
B	Ohio	Agent	Approved	11/06/2017
B	Oregon	Agent	Approved	11/06/2017
B	Pennsylvania	Agent	Approved	11/06/2017
B	South Carolina	Agent	Approved	01/03/2020
B	South Dakota	Agent	Approved	11/06/2017
B	Tennessee	Agent	Approved	11/06/2017
B	Texas	Agent	Approved	02/20/2018
B	Utah	Agent	Approved	01/03/2020
B	Vermont	Agent	Approved	01/02/2019
B	Virginia	Agent	Approved	02/20/2018
B	Washington	Agent	Approved	11/06/2017
B	Wisconsin	Agent	Approved	02/20/2018

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES, INC.**  
 123 NORTH ANN ARBOR STREET  
 SALINE, MI 48176



## 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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/12/2013

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/30/2013

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

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

No information reported.





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2013 - 01/2016	EDWARD JONES	250	ANN ARBOR, MI
B 08/2013 - 01/2016	EDWARD JONES	250	ANN ARBOR, MI

### 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
06/2023 - Present	Arcadia Capital	Officer - CEO	N	Saline, MI, United States
07/2022 - Present	Ockerlund Capital And Wealth Management Group	Partner	N	Saline, MI, United States
01/2016 - Present	Baughman Capital Management	Investment Advisor	N	STEVENSVILLE, MI, United States
01/2016 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser Rep	Y	STEVENSVILLE, MI, United States
01/2016 - Present	Raymond James Financial Services, Inc	Financial Advisor	Y	Saline, MI, United States
07/2013 - 01/2016	Edward Jones	Financial Advisor	Y	ST LOUIS, MO, 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: 510 W. 17th St LLC Address: 123 N. Ann Arbor Street, Saline, MI, 48176, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 09/30/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 2-10 Description of duties: LLC to own my building in Holland

(2)Name of Business: Arcadia Capital Address: 123 N Ann Arbor St, Saline, MI, 48176-1143, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 06/01/2023 Hours per month devoted to this business: 41-80 Hours per



## Registration and Employment History

### Other Business Activities, continued

month devoted to this business during trading hours: 41-80 Description of duties: Owner/Ceo

(3)Name of Business: Baughman Capital Management Address: 123 N Ann Arbor St, Saline, MI, 48176, United States Activity Type: Other Position/Title: Partner Investment Related: No Start Date: 01/04/2016 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Financial Advisor, Partner

(4)Name of Business: BCM West LLC Address: 123 N Ann Arbor St, Saline, MI, 48176, United States Activity Type: Other Position/Title: Partner Investment Related: No Start Date: 10/27/2017 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41-80 Description of duties: Financial Advisor, Partner

(5)Name of Business: BCMW LLC Address: 123 N Ann Arbor St, Saline, MI, 48176, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 11/01/2017 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 11-20 Description of duties: 25% Owner with David Yu at 55% and Tom Baughman at 20%

(6)Name of Business: Ockerlund Capital and Wealth Management Group Address: 123 N Ann Arbor St, Saline, MI, 48176, United States Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 07/01/2022 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Owner Financial Advisor

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## End of Report



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