

## BrokerCheck Report

### WILLIAM KELLER NORMANN

CRD# 1377772

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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.

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).



## WILLIAM K. NORMANN

CRD# 1377772

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

**B** **RAYMOND JAMES FINANCIAL SERVICES, INC.**  
603 Carthage Street  
Suite 210  
Sanford, NC 27330  
CRD# 6694  
Registered with this firm since: 10/18/2017

**IA** **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
603 Carthage Street  
Suite 210  
Sanford, NC 27330  
CRD# 149018  
Registered with this firm since: 10/18/2017

## 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
- 31 U.S. states and territories

This broker has passed:

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

### Registration History

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

- B** **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
CRD# 11025  
SANFORD, NC  
10/2015 - 10/2017
- IA** **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
CRD# 11025  
ST. LOUIS, MO  
10/2015 - 10/2017
- IA** **WELLS FARGO ADVISORS, LLC**  
CRD# 19616  
ST. LOUIS, MO  
06/2002 - 10/2015

### 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 31 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	North Carolina	Investment Adviser Representative	Approved	10/18/2017
IA	Texas	Investment Adviser Representative	Approved	12/01/2017

### 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	10/18/2017
B	FINRA	General Securities Sales Supervisor	Approved	10/18/2017

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/18/2017



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	02/15/2022
B	Arkansas	Agent	Approved	06/01/2023
B	California	Agent	Approved	10/18/2017
B	Colorado	Agent	Approved	10/18/2017
B	Connecticut	Agent	Approved	10/18/2017
B	Delaware	Agent	Approved	10/18/2017
B	District of Columbia	Agent	Approved	10/18/2017
B	Florida	Agent	Approved	10/18/2017
B	Georgia	Agent	Approved	10/18/2017
B	Illinois	Agent	Approved	10/18/2017
B	Kentucky	Agent	Approved	10/18/2017
B	Maine	Agent	Approved	10/18/2017
B	Maryland	Agent	Approved	10/18/2017
B	Massachusetts	Agent	Approved	10/18/2017
B	Michigan	Agent	Approved	04/01/2020
B	Mississippi	Agent	Approved	03/10/2021
B	Missouri	Agent	Approved	01/09/2023
B	Nebraska	Agent	Approved	05/11/2018
B	New Jersey	Agent	Approved	10/18/2017
B	New York	Agent	Approved	10/18/2017
B	North Carolina	Agent	Approved	10/18/2017



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	10/18/2017
B	Pennsylvania	Agent	Approved	10/18/2017
B	Rhode Island	Agent	Approved	10/18/2017
B	South Carolina	Agent	Approved	10/18/2017
B	Tennessee	Agent	Approved	10/18/2017
B	Texas	Agent	Approved	10/18/2017
B	Virginia	Agent	Approved	10/18/2017
B	Washington	Agent	Approved	10/18/2017
B	Wisconsin	Agent	Approved	10/18/2017

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES, INC.

603 Carthage Street  
 Suite 210  
 Sanford, NC 27330



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	10/27/1998

### 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	07/20/1985

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/14/1993
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/20/1985

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
<b>B</b> 10/2015 - 10/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	SANFORD, NC
<b>IA</b> 10/2015 - 10/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	SANFORD, NC
<b>IA</b> 06/2002 - 10/2015	WELLS FARGO ADVISORS, LLC	19616	SANFORD, NC
<b>B</b> 06/2002 - 10/2015	WELLS FARGO ADVISORS, LLC	19616	SANFORD, NC
<b>IA</b> 12/2001 - 06/2002	WACHOVIA SECURITIES, INC.	431	SANFORD, NC
<b>B</b> 05/1986 - 06/2002	WACHOVIA SECURITIES, INC.	431	CHARLOTTE, NC
<b>B</b> 07/1985 - 05/1986	FIRST JERSEY SECURITIES, INC.	6621	

### 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
12/2022 - Present	JoJo Legacy LLC	Other	Y	Sanford, NC, United States
10/2017 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SANFORD, NC, United States
10/2017 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	SANFORD, NC, United States
10/2017 - Present	The Normann Financial Group, LLC	Other	Y	Sanford, NC, United States
08/2017 - Present	Normann Properties, LLC	Other	Y	Sanford, NC, United States
10/2017 - 12/2021	Advisors Financial Group	Agent	Y	Sanford, NC, United States
10/2015 - 10/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	SANFORD, NC, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2009 - 10/2015	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SANFORD, NC, 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) Automatic Press LLC , 5401 Six Forks Road, Ste 100 , Raleigh, 27609, A/T: Business Owner P/T: Partner I/R: Yes S/D: 03/15/2021 HPM: 0-1 HPM dur trad hours: 0-1 DOD: 1/10th owner
- (2) Brookwood Partners LLC , 1228 Radcliff Dr., Sanford, A/T: Rental Real Estate P/T: Owner/Proprietor I/R: Yes S/D: 01/01/2004 HPM: 0-1 HPM dur trad hours: 0-1 DOD: ownership in golf cottage
- (3) JoJo Legacy LLC , 1228 Radcliff Dr., Sanford, A/T: Real Estate Brokerage/ Agent or Development P/T: Other I/R: Yes S/D: 12/12/2022 HPM: 0-1 HPM dur trad hours: 0-1 DOD: managing agent
- (4) Keller Family Partnership LLC , 1801 Wicker Street, Sanford, A/T: Business Owner P/T: Partner I/R: Yes S/D: 07/22/18 HPM: 0-1 HPM dur trad hours: 0-1 DOD: passive investor
- (5) Keller Nursing Home "Oak Haven" , 1801 Wicker Street, Sanford, A/T: Business Owner P/T: Partner I/R: No S/D: 07/22/18 HPM: 0-1 HPM dur trad hours: 0-1 DOD: passive investor only \nowning 6.66% from gr&father's estate
- (6) Normann Family LLC , 1801 Wicker Street, Sanford, A/T: Business Owner P/T: Partner I/R: No S/D: 01/18/2008 HPM: 0-1 HPM dur trad hours: 0-1 DOD: 33.33% owner\npassive investor
- (7) Normann Investments, LLC , 1228 Radcliff Dr., Sanford, A/T: Rental Real Estate P/T: Owner/Proprietor I/R: Yes S/D: 01/01/1997 HPM: 0-1 HPM dur trad hours: 0-1 DOD: owner/investor
- (8) Normann Properties, LLC , 1228 Radcliff Dr., Sanford, A/T: Real Estate Brokerage/ Agent or Development P/T: Other I/R: Yes S/D: 08/01/2017 HPM: 0-1 HPM dur trad hours: 0-1 DOD: managing agent/pay bills
- (9) Parkview In Home Aid , 1801 Wicker Street, Sanford, A/T: Business Owner P/T: Partner I/R: No S/D: 07/22/18 HPM: 0-1 HPM dur trad hours: 0-1 DOD: 8.325% ownership\nreceived when gr&father passed
- (10) Parkview Retirement Center , 1801 Wicker Street, Sanford, A/T: Business Owner P/T: Partner I/R: No S/D: 07/22/18 HPM: 0-1 HPM dur trad hours: 0-1 DOD: own 6.66% of Parkview Retirement Center which was left to family members after gr&father, Oscar Keller Sr., passed away
- (11) Pirate Booty, LLC , 1228 Radcliff Dr., Sanford, A/T: Business Owner P/T: Partner I/R: Yes S/D: 07/15/2019 HPM: 0-1 HPM dur trad hours: 0-1 DOD: 50/50 partner & 50/50 Mgr
- (12) Summey, Bill , 1228 Radcliff Dr., Sanford, A/T: Control Person P/T: Other (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: POA/Personal Representative. successor only in the event his wife, Malinda Summey, is unable to
- (13) Summey, Bill , 1228 Radcliff Dr., Sanford, A/T: Control Person P/T: Exec (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: would be Exec for Malinda's estate in the event William Summey could not do it
- (14) Summey, Bill , 603 Carthage St Ste 210, Sanford, A/T: Control Person P/T: Ttee (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: only in the event her husb&, William Summey, could not be Ttee
- (15) Summey, Bill , 603 Carthage St Ste 210, Sanford, A/T: Control Person P/T: Ttee (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: only in the event his wife, Malinda Summey, could not
- (16) Summey, Bill , 1228 Radcliff Dr., Sanford, A/T: Control Person P/T: Exec (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: will be Exec in the event Malinda Summey is unable to at the time of William's death

## Registration and Employment History



### Other Business Activities, continued

(17) Summey, Bill , 1228 Radcliff Dr., Sanford, A/T: Control Person P/T: Other (Named Only) I/R: No S/D: 02/11/20 HPM: 0-1 HPM dur trad hours: 0-1 DOD: POA/Personal Representative. only in the case that her husband, William Summey, could not

(18) The Dam Pond LLC , 1228 Radcliff Dr., Sanford, A/T: Business Owner P/T: Other I/R: Yes S/D: 10/27/2021 HPM: 0-1 HPM dur trad hours: 0-1 DOD: Mgr

(19) The Normann Financial Grp, LLC , 603 Carthage St Ste 210, Sanford, A/T: Support Co - Owner P/T: Other I/R: Yes S/D: 10/18/2017 HPM: 81+ HPM dur trad hours: 81+ DOD: owner, Senior Wealth Advisor & Practice Mg

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## End of Report



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