

BrokerCheck Report

EVAN JAMES FARRELL

CRD# 1857570

Report #64074-39665, data current as of Sunday, December 27, 2015.

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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 <http://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.



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.

Thank you for using FINRA BrokerCheck.

**EVAN J. FARRELL**

CRD# 1857570

Currently employed by and registered with the following Firm(s):**SUNTRUST INVESTMENT SERVICES, INC.**800 SOUTH FEDERAL HIGHWAY
2ND FLOOR

BOCA RATON, FL 33432

CRD# 17499

Registered with this firm since: 01/16/2015

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
- 23 U.S. states and territories

This broker has passed:

- 2 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):****OPPENHEIMER & CO. INC.**

CRD# 249

BOCA RATON, FL

03/2009 - 01/2015

STANFORD GROUP COMPANY

CRD# 39285

BOCA RATON, FL

08/2006 - 03/2009

WACHOVIA SECURITIES, LLC

CRD# 19616

BOCA RATON, FL

10/2000 - 08/2006

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov>



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 23 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SUNTRUST INVESTMENT SERVICES, INC.**

Main Office Address: **303 PEACHTREE CENTER AVE
SUITE 140
ATLANTA, GA 30303**

Firm CRD#: **17499**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	01/16/2015
FINRA	General Securities Sales Supervisor	APPROVED	01/16/2015

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	01/16/2015	Michigan	Agent	APPROVED	01/21/2015
Colorado	Agent	APPROVED	01/20/2015	Nevada	Agent	APPROVED	01/26/2015
Connecticut	Agent	APPROVED	03/30/2015	New Hampshire	Agent	APPROVED	01/22/2015
Delaware	Agent	APPROVED	01/27/2015	New Jersey	Agent	APPROVED	01/21/2015
Florida	Agent	APPROVED	01/20/2015	New York	Agent	APPROVED	01/22/2015
Georgia	Agent	APPROVED	01/26/2015	North Carolina	Agent	APPROVED	01/23/2015
Illinois	Agent	APPROVED	01/20/2015	Ohio	Agent	APPROVED	01/21/2015
Iowa	Agent	APPROVED	01/21/2015	Oregon	Agent	APPROVED	01/20/2015
Kentucky	Agent	APPROVED	01/23/2015	Pennsylvania	Agent	APPROVED	01/21/2015
Louisiana	Agent	APPROVED	01/21/2015	Texas	Agent	APPROVED	01/16/2015
Maryland	Agent	APPROVED	02/02/2015	Virginia	Agent	APPROVED	01/20/2015
Massachusetts	Agent	APPROVED	01/20/2015				

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
800 SOUTH FEDERAL HIGHWAY
2ND FLOOR
BOCA RATON, FL 33432



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination	Series 9	04/12/2001
General Securities Sales Supervisor - General Module Examination	Series 10	04/13/2001

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	08/20/1988
Futures Managed Funds Examination	Series 31	02/03/2006

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/25/1988
Uniform Investment Adviser Law Examination	Series 65	04/25/2000

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
03/2009 - 01/2015	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL
08/2006 - 03/2009	STANFORD GROUP COMPANY	39285	BOCA RATON, FL
10/2000 - 08/2006	WACHOVIA SECURITIES, LLC	19616	BOCA RATON, FL
03/2000 - 10/2000	FIRST UNION BROKERAGE SERVICES, INC.	8112	CHARLOTTE, NC
01/1995 - 04/2000	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
04/1994 - 01/1995	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY
06/1990 - 04/1994	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
02/1989 - 02/1989	F.D. ROBERTS SECURITIES, INC.	693	
08/1988 - 02/1989	F.D. ROBERTS SECURITIES, INC.	693	PARAMUS, NJ
12/1988 - 02/1989	MARSHALL DAVIS, INC.	16278	
10/1988 - 01/1989	R A F FINANCIAL CORPORATION	1398	

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 Dates	Employer Name	Employer Location
01/2015 - Present	SUNTRUST INVESTMENT SERVICES, INC.	ATLANTA, GA
03/2009 - 01/2015	OPPENHEIMER & CO. INC.	BOCA RATON, FL
08/2006 - 03/2009	STANFORD GROUP COMPANY	BOCA RATON, FL
05/2003 - 08/2006	WACHOVIA SECURITIES, LLC-ISG	BOCA RATON, FL

Registration and Employment History



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.

No information reported.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A





Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Award/Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES INC.
Allegations:	NEGLIGENCE; BREACH OF FIDUCIARY DUTY; MISREPRESENTATION; FRAUDULENT ACTIVITY-MANIPULATION
Product Type:	Mutual Fund(s)
Alleged Damages:	\$6,180.02
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-06253
Date Notice/Process Served:	10/18/2002
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/12/2003
Disposition Detail:	RESPONDENT IS LIABLE, JOINTLY AND SEVERALLY, AND SHALL PAY TO CLAIMANT \$1,440.



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	CLIENT ALLEGES UNSUITABLE RECOMMENDATION TO PURCHASE EVERGREEN UTILITIES FUND. CLAIMED DAMAGES OF \$6180.02.
Product Type:	Mutual Fund
Alleged Damages:	\$6,180.02
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	POMPANO BEACH FL
Docket/Case #:	02-06253
Filing date of arbitration/CFTC reparation or civil litigation:	10/18/2002

Customer Complaint Information

Date Complaint Received:	11/07/2002
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	11/07/2002
Settlement Amount:	\$1,440.00
Individual Contribution Amount:	\$720.00

Arbitration Information

Disposition:	Award to Customer
Disposition Date:	03/12/2003
Broker Statement	THE NASD ARBITRATOR AWARDED THE CLAIMANT THE AMOUNT OF \$1,440. THE FA CONTRIBUTED 50%.



Customer Dispute - Closed-No Action/Withdrawn/Dismissed/Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: FLORIDA RESIDENT WRITES THAT FA REPRESENTED THAT INCOME FROM TWO CLOSED-END WOULD BE TAXED AT 15% RATE. THE EATON VANCE TAX-MANAGED GLOBAL FUND WAS PURCHASED 9/27/05 FOR \$150,000. THE ING GLOBAL EQUITY FUND WAS PURCHASED 3/28/05 FOR \$100,000. CLIENT ALSO WRITES THAT INVESTMENTS CARRIED TOO MUCH RISK, AND HE WANTS TO BE MADE WHOLE ON BOTH INVESTMENTS. UNREALIZED PRINCIPAL LOSSES ARE \$18,725.

Product Type: Mutual Fund

Alleged Damages: \$18,725.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/04/2006

Complaint Pending? No

Status: Denied

Status Date: 04/26/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED. FA DID NOT REPRESENT PRODUCTS, WHICH WERE SUITABLE FOR CLIENT BASED ON HIS INVESTMENT OBJECTIVES AND RISK



TOLERANCE. CLIENT HAD NET LOSS OF 4% UNREALIZED.

End of Report



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