



## IAPD Report

# LUKE JAY BUEHLER

CRD# 1540406

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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>



## Report Summary

### LUKE JAY BUEHLER (CRD# 1540406)

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 **03/26/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	10/09/2023
<b>IA</b>	NWF ADVISORY SERVICES INC	CRD# 110410	05/19/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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
<b>IA</b>	THE AMERIFLEX GROUP	305585	Fredonia, NY	10/09/2023 - 07/03/2025
<b>B</b>	CETERA ADVISORS LLC	10299	FREDONIA, NY	09/08/2022 - 10/19/2023
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	FREDONIA, NY	11/12/2020 - 10/19/2023

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



## 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 **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	10/09/2023
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	10/09/2023
<b>B</b>	FINRA	Operations Professional	Approved	10/09/2023
<b>B</b>	Arizona	Agent	Approved	10/09/2023
<b>B</b>	California	Agent	Approved	10/09/2023
<b>B</b>	Delaware	Agent	Approved	10/09/2023
<b>B</b>	Florida	Agent	Approved	10/09/2023
<b>B</b>	Georgia	Agent	Approved	02/03/2026
<b>B</b>	Kentucky	Agent	Approved	01/26/2026
<b>B</b>	Maine	Agent	Approved	10/09/2023
<b>B</b>	Maryland	Agent	Approved	10/09/2023
<b>B</b>	Massachusetts	Agent	Approved	10/09/2023
<b>B</b>	Michigan	Agent	Approved	10/09/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Minnesota	Agent	Approved	10/09/2023
<b>B</b> Nevada	Agent	Approved	02/12/2024
<b>B</b> New Jersey	Agent	Approved	10/09/2023
<b>B</b> New York	Agent	Approved	10/09/2023
<b>B</b> North Carolina	Agent	Approved	10/20/2023
<b>B</b> Ohio	Agent	Approved	10/09/2023
<b>B</b> Pennsylvania	Agent	Approved	10/09/2023
<b>B</b> South Carolina	Agent	Approved	10/11/2023
<b>B</b> South Dakota	Agent	Approved	10/09/2023
<b>B</b> Tennessee	Agent	Approved	10/09/2023
<b>B</b> Virginia	Agent	Approved	10/09/2023
<b>B</b> West Virginia	Agent	Approved	10/09/2023
<b>B</b> Wisconsin	Agent	Approved	10/09/2023
<b>B</b> Wyoming	Agent	Approved	10/09/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 35 East Main St  
 Fredonia, NY 14063

**OSAIC WEALTH, INC.**  
 1285 North Main St  
 Jamestown, NY 14701

### Employment 2 of 2

Firm Name: **NWF ADVISORY SERVICES INC**  
 Main Address: 11835 W OLYMPIC BLVD  
 STE 1155 E.  
 LOS ANGELES, CA 90064



## Qualifications

Firm ID#: 110410

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	05/19/2025

### Branch Office Locations

**NWF ADVISORY SERVICES INC**  
35 East Main St  
Fredonia, NY 14063



## 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 3 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/22/2005
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/01/1986

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	11/29/2012
Uniform Investment Adviser Law Examination (S65)	Series 65	06/24/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/1987

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	10/09/2023 - 07/03/2025	THE AMERIFLEX GROUP	CRD# 305585	Fredonia, NY
B	09/08/2022 - 10/19/2023	CETERA ADVISORS LLC	CRD# 10299	FREDONIA, NY
IA	11/12/2020 - 10/19/2023	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	FREDONIA, NY
B	11/28/2011 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	FREDONIA, NY
IA	11/28/2011 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	JAMESTOWN, NY
B	05/22/2007 - 12/31/2011	SECURITIES AMERICA, INC.	CRD# 10205	JAMESTOWN, NY
IA	08/13/2003 - 12/31/2007	SUMMIT FINANCIAL ADVISORS, LLC	CRD# 119894	JAMESTOWN, NY
B	10/18/2002 - 05/25/2007	NEW ENGLAND SECURITIES	CRD# 615	JAMESTOWN, NY
B	07/11/1997 - 11/15/2002	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
B	10/02/1986 - 07/09/1997	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	10/02/1986 - 07/09/1997	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
10/2023 - Present	OSAIC	Registered Representative	Y	Fredonia, NY, United States
10/2023 - Present	The Ameriflex Group	Registered Investment Advisor	Y	Las Vegas, NV, United States
11/2020 - Present	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2008 - Present	SUMMIT WEALTH MANAGEMENT, INC.	VICE PRESIDENT	Y	JAMESTOWN, NY, United States
06/2007 - Present	SECURITIES AMERICA ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	JAMESTOWN, NY, United States
07/1997 - Present	SELF EMPLOYED	OTHER - INSURANCE	N	JAMESTOWN, NY, United States
07/1997 - Present	SUMMIT FINANCIAL ADVISORS	OTHER - REG INV ADV	N	JAMESTOWN, NY, United States
09/2022 - 10/2023	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	FREDONIA, NY, United States
11/2011 - 09/2022	FIRST ALLIED SECURITIES. INC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
11/2011 - 11/2020	First Allied Advisory Services, Inc.	Investment Advisor Representative	Y	CHESTERFIELD, MO, 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.

- SUMMIT FINANCIAL ADVISORS, LLC  
-HOLDING CO; START DATE 4/5/96; 0 HRS PER MONTH.
- SUNY FREDONIA TECHNOLOGY INCUBATOR MENTOR PROGRAM  
-VOLUNTEER; NON-PROFIT ORG; START DATE; 10/1/18; 4 HRS PER MONTH.
- TEAM 1 INSURANCE SERVICES LLC  
-MEMBER; INSURANCE FIXED/LIFE/HEALTH/P&C; START DATE 11/1/21; 4 HRS PER MONTH.
- TEAM 1 INSURANCE LLC  
POS: Partner NATURE: Property Casualty Insurance/Medicare Advantage & Medicare Supplement Insurance INVESTMENT RELATED: Yes # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 7/1/19 ADDY: 1285 N Main, Jamestown NY 14701 DESCRIPT: provide referrals to agency, help monitor business financials.
- DNL PROPERTIES LLC  
POSITION: partner NATURE: LLC owns 2 office buildings INVESTMENT RELATED: Yes # OF HRS: 2 SECURITIES TRADING HRS: 1 START DATE: 6/1/06 ADDY: 1285 N Main St, Jamestown NY 14701 DESCRIPT: Monitor financials, hire maintenance
- LJB FINANCIAL SVCS  
POS: VP NATURE: holding company passthrough, small portion of income and expenses generated solely from fixed life insurance/ fixed annuity sales/service. INVESTMENT RELATED: Yes # OF HRS: 4 SECURITIES TRADING HRS: 2 START DATE 7/1/04 ADDY: 35 E Main St, Fredonia NY 14063 DESCRIPT: pay expenses specifically to do with fixed life sales. Sell/service fixed life



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### 7. DUNKIRK FREDONIA LIONS CLUB

POSITION: Chairman of the Equipment closet NATURE: service org INVESTMENT RELATED: No # OF HRS: 3 SECURITIES TRADING HRS: 0 START DATE: 8/1/19 ADDY: PO Box 44, Dunkirk NY 14048 DESCRIPT: Help club receive in & donate out household medical equip wheelchairs/shower chairs etc to those in need in our community

#### 8. SUMMIT WEALTH MANAGEMENT INC.

POSITION: vice president NATURE: DBA for Wealth Management and Financial Planning INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 07/01/2004 ADDRESS: 35 East Main Street, Fredonia NY 14063, United States DESCRIPTION: direct employees, work directly with client on wealth management issues.

#### 9. LUCA S CALANNI FOUNDATION

POS: Finance Committee Member NATURE: nonprofit established to help underprivileged kids in Western NY. Luca Calanni was my grandson who tragically died at age 11 from complications from a Flu virus. INVESTMENT RELATED: No # OF HOURS: 2 SECURITIES TRADING HRS: 1 START DATE: 2/15/20 ADDY: PO Box 614, Hamburg NY 14075 DESCRIPT: help fellow committee members monitor grants/donations, coordinated with local community foundation. Report to the board of directors regarding quarterly activity of the foundation.

#### 10. SUMMIT ACCOUNTING SOLUTIONSS

POSITION: partner NATURE: Provide income tax preparation and pro forma tax reviews. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 01/02/2011 ADDRESS: 1285 N Main St, Jamestown NY 14701, United States DESCRIPTION: Discuss client needs and results with accounting staff.

#### 11. LUKE BUEHLER

POS: insurance agent NATURE: sole proprietor INVESTMENT RELATED: Yes # OF HRS: 4 SECURITIES TRADING HRS: 3 START DATE: 8/15/24 ADDY: 35 E Main St, Fredonia NY 14063 DESCRIPT: place fixed life, disability, long term care protection products as well as fixed interest annuities to help clients

#### 12. NWF ADVISORY SERVICES, INC.

POSITION: Investment Advisor Representative NATURE: Corporation Registered Investment Advisor INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 06/24/2025 ADDRESS: 35 East Main Street, Fredonia NY 14701 DESCRIPTION: I Provide Advisory Services such as Financial Plans, WRAP Fee accounts, Retirement Plan Consulting, etc. I devote about 70% of my work hours towards this business.



## 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

### 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	NASD REGULATORY SERVICE UPDATE VIA US DEPT OF JUSTICE REPORT NOT PROVIDED VILLAGE OF FREDONIA JUSTICE COURT, FREDONIA, NEW YORK (DOCKET/CASE NUMBER NOT AVAIABLE)
<b>Charge Date:</b>	02/09/1979
<b>Charge Details:</b>	FEBRUARY 1979 CHARGED WITH UNAUTHORIZED USE OF A MOTOR VEHICLE, CLASS A MISDEMEANOR, SEC. 165.05 SUB 1 OF NEW YORK STATE PENAL LAW WHICH WAS ATTRIBUTED TO A COLLEGE PRANK. ON FEBRUARY 21, 1979, PLED GUILTY TO A VIOLATION OF DISORDERLY CONDUCT, SEC. 240.20 SUB 1 OF THE NEW YORK STATE PENAL LAW AND WAS GIVEN A CONDITIONAL DISCHARGE AND FINED \$100.00
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	02/21/1979
<b>Disposition Details:</b>	THE RESULT WAS A GUILTY PLEA TO DISORDERLY CONDUCT, SEC. 240.20 SUB 1 OF NEW YORK STATE PENAL LAW OF UNAUTHORIZED USE OF A MOTOR VEHICLE. FINE WAS PAID AND CASE WAS CLOSED IN FEBRUARY 1979.
<b>Broker Statement</b>	I WAS INVOLVED IN A MINOR COLLEGE PRANK IN 1979 THAT SNOWBALLED AND UNFORTURATELY CHARGING WERE FIELD AGAINST ME. I PLEAD GUILTY TO THE DISORDERLY CONDUCT CHARGE AND PAID A SMALL FINE AND THE CASE WAS CLOSED IN FEBRUARY 1979. THIS IS THE ONLY CHARGE I WAS EVER CHARGED WITH.



## End of Report

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