



IAPD Report

MATTHEW MICHAEL DEWEESE

CRD# 1639246

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 6
Registration and Employment History	7
Disclosure Information	8



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

MATTHEW MICHAEL DEWEESE (CRD# 1639246)

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 **01/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	06/04/2003
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL	10/30/2003 - 01/02/2009
IA	UBS FINANCIAL SERVICES INC.	8174	NEWPORT BEACH, CA	07/08/1997 - 07/02/2003
B	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	02/21/1997 - 07/02/2003

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
Regulatory Event	1
Criminal	1
Customer Dispute	1
Termination	1



Report Summary



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

Employment 1 of 2

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

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/04/2003
B	FINRA	General Securities Sales Supervisor	Approved	09/04/2003
B	Arizona	Agent	Approved	01/19/2017
B	California	Agent	Approved	06/04/2003
B	Colorado	Agent	Approved	05/03/2024
B	Idaho	Agent	Approved	07/29/2005
B	Illinois	Agent	Approved	01/10/2018
B	Indiana	Agent	Approved	05/13/2024
B	Kansas	Agent	Approved	01/27/2026
B	Minnesota	Agent	Approved	10/14/2015
B	Montana	Agent	Approved	05/07/2024
B	Nebraska	Agent	Approved	05/06/2024
B	Nevada	Agent	Approved	08/18/2020



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	05/07/2024
B New Mexico	Agent	Approved	03/27/2017
B New York	Agent	Approved	05/02/2024
B Oregon	Agent	Approved	07/31/2024
B South Dakota	Agent	Approved	02/08/2023
B Tennessee	Agent	Approved	05/03/2024
B Texas	Agent	Approved	07/11/2019
B Utah	Agent	Approved	07/30/2020
B Washington	Agent	Approved	02/03/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 29122 RANCHO VIEJO ROAD
 SUITE 107
 SAN JUAN CAPISTRANO, CA 92675

Employment 2 of 2

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

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 29122 RANCHO VIEJO ROAD
 SUITE 107
 SAN JUAN CAPISTRANO, CA 92675



Qualifications





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 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/02/2003
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	08/02/2003

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/06/1999
 National Commodity Futures Examination (S3)	Series 3	10/23/1989
 General Securities Representative Examination (S7)	Series 7	04/25/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/1987

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	10/30/2003 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ST. PETERSBURG, FL
IA	07/08/1997 - 07/02/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEWPORT BEACH, CA
B	02/21/1997 - 07/02/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	04/11/1990 - 03/04/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/15/1988 - 04/11/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	04/29/1987 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	SAN JUAN CAPISTRANO, CA, United States
06/2003 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	SAN JUAN CAPISTRANO, CA, 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.

(1)Name of Business: DeWeese Financial Services, Inc. Address: 29122 Rancho Viejo Road Suite 107 , San Juan Capistrano, CA, 92675, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 06/25/2009 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am President of my corporation.



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
Regulatory Event	1
Criminal	1
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/26/1990
Docket/Case Number:	1238-S-3/90
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILED TO TIMELY AND PROPERLY RESPOND TO THE STATE'S PREVIOUS DENIAL LETTER.
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/22/1990
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	



Sanction Details: ON MAY 22,1990, THE STATE OF FLORIDA ENTERED A DEFAULT FINAL ORDER OFDENIAL IN THE MATTER OF THE SUBJECT INDIVIDUAL MATTHEW M.DEWEESE. THE ORDER SERVES AS A FINAL ORDER DENYING THE APPLICATION FOR REGISTRATION OF THE SUBJECT AS AN ASSOCIATED PERSON OF SHERSON, LEHMAN, HUTTON, INC. AND WAS ENTERED BECAUSE THE SUBJECT FAILED TO TIMELY AND PROPERLY RESPOND TO THE STATE'S PREVIOUS DENIAL LETTER.

Regulator Statement ()

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF FLORIDA/DIVISION OF SECURITIES

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 03/26/1990

Docket/Case Number: 1238-S-3/90

Employing firm when activity occurred which led to the regulatory action: SHEARSON LEHMAN

Product Type: No Product

Other Product Type(s):

Allegations: THE STATE OF FLORIDA DENIED MY APPLICATION FOR REGISTRATION AS A SECURITIES SALESMAN WITH SHEARSON LEHMAN HUTTON DUE TO MY AFFIRMATIVE RESPONSE TO QUESTION #22A3 OF FORM U-4, DISCLOSING MY 12-4-86 ARREST IN LONDON, ENGLAND FOR WHICH I PLEAD GUILTY.

Current Status: Final

Resolution: Decision

Resolution Date: 05/22/1990

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: APPLICATION FOR REGISTRATION DENIED.

Broker Statement ON MAY 22, 1990, THE STATE OF FLORIDA ENTERED A DEFAULT FINAL ORDER OF DENIAL IN TEH MATTER OF THE SUBJECT INDIVIDAL MATTHEW DEWEESE. THE ORDER SERVED AS A FINAL ORDER DENYING APPLICATION FOR REGISTRATION OF THE SUBJECT AS AN ASSOCIATE PERSON OF SHEARSON, LEHMAN, HUTTON, INC. AND WAS ENTERED BECAUSE THE SUBJECT FAILES TO TAIMEL;Y AND PROPERLY RESPOND TO STATE'S PREVIOUS DENIAL LETTER.



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

Reporting Source:	Individual
Court Details:	MAGISTRATES' COURT OF THE INNER LONDON COMMISSION AREA
Charge Date:	12/04/1986
Charge Details:	IMPORTATION OF COCAINE
Felony?	Yes
Current Status:	Final
Status Date:	12/13/1986
Disposition Details:	PLED GUILTY WAS FINED \$1000 POUNDS. (APPROXIMATELY \$1500 DOLLARS.)

Broker Statement

WHILE DEWEESE WAS LIVING IN THE U.K. LAST YEAR A FRIEND FROM THE STATE CAME TO VISIT HIM IN LONDON. WHILE THERE, HE AND ANOTHER FRIEND SENT TO HIM VIA FEDERAL EXPRESS A SMALL AMOUNT OF COCAINE. THE PACKAGE NEVER ARRIVE AND HIS FRIEND WENT BACK TO THE STATES. LATER THAT YEAR, DEWEESE MADE TRAVEL PLANS TO RETURN TO LOS ANGELES. ON DECEMBER 4, POSING AS FEDERAL EXPRESS DELIVERYMEN, H.M.S. CUSTOMS AND EXCISE OFFICERS DELIVERED THE ABOVE MENTIONED PACKAGE. DEWEESE ACCEPTED IT AND WAS IMMEDIATELY ARRESTED. HE PLEADED GUILTY TO THE CHARGE OF IMPORTATION OF A CLASS A SUBSTANCE. THE CASE WAS DISPOSED OF AND SUBSEQUENTLY FINED 1000 LBS.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES THAT THE "MANAGEMENT OF MY INVESTMENTS HAS PROVEN TO BE WHOLLY UNSUITABLE." CLIENT REQUESTS "A COMPLETE AUDIT OF MY ACCOUNT" AND FURTHER CLAIMS THAT SHE IS "DUE SOME COMPENSATION AS A RESULT OF THE MISHANLDING OF MY FAMILY ESTATE." DAMAGES ESTIMATED TO EXCEED \$5000.

Product Type: Other

Other Product Type(s): PRODUCT UNSPECIFIED.

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/28/2002

Complaint Pending? No

Status: Denied

Status Date: 03/05/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement COMPLAINT NO LONGER REPORTABLE BECAUSE FILED MORE THAN 24 MONTHS AGO AND DID NOT RESULT IN A SETTLEMENT OF \$10,000 OR MORE. PLEASE ARCHIVE.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	UBS FINANCIAL SERVICES, INC
Termination Type:	Permitted to Resign
Termination Date:	06/03/2003
Allegations:	PERMITTED TO RESIGN. UNDER INVESTIGATION FOR OUTSIDE EMPLOYMENT ACTIVITY IN VIOLATION OF UBS FINANCIAL SERVICES, INC POLICY.
Product Type:	No Product
Other Product Types:	
Broker Statement	DEWEESE HAD MADE PLANS TO RESIGN FROM UBS ON JUNE 6TH AND HAD LEASED OFFICE SPACE ON JUNE 1ST IN PREPARATION FOR THIS MOVE TO INDEPENDENCE. UBS WAS INFORMED OF THE OFFICE LEASE BY THE CABLE TECHNICIAN ON JUNE 3RD WHICH RESULTED IN DEWEESE'S RESIGNATION ON THAT DAY.



End of Report

This page is intentionally left blank.