



IAPD Report

JEFFREY SCOTT VANDERWEELE

CRD# 1725985

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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

JEFFREY SCOTT VANDERWEELE (CRD# 1725985)

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 **10/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	01/12/2011
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	01/20/2011

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** 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	OPPENHEIMER & CO. INC.	249	GRAND RAPIDS, MI	12/05/2007 - 01/11/2011
B	OPPENHEIMER & CO. INC.	249	GRAND RAPIDS, MI	11/10/2003 - 01/11/2011
IA	MCDONALD INVESTMENTS INC.	566	GRAND RAPIDS, MI	09/03/2003 - 11/07/2003

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
Customer Dispute	2
Termination	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 **17** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/12/2011
B FINRA	General Securities Sales Supervisor	Approved	01/12/2011
B Investors' Exchange LLC	General Securities Representative	Approved	10/21/2025
B MEMX LLC	General Securities Representative	Approved	10/21/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	10/21/2025
B NYSE American LLC	General Securities Representative	Approved	01/12/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	10/21/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/21/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/21/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/21/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/12/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/12/2011



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	01/12/2011
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/12/2011
B	New York Stock Exchange	General Securities Representative	Approved	01/12/2011
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	05/21/2025
B	Arizona	Agent	Approved	03/04/2011
B	California	Agent	Approved	02/14/2011
B	Connecticut	Agent	Approved	03/20/2023
B	Florida	Agent	Approved	10/15/2021
B	Georgia	Agent	Approved	12/17/2015
B	Illinois	Agent	Approved	02/14/2011
B	Indiana	Agent	Approved	02/08/2011
B	Iowa	Agent	Approved	02/07/2011
B	Kansas	Agent	Approved	12/09/2019
B	Massachusetts	Agent	Approved	07/06/2023
B	Michigan	Agent	Approved	01/12/2011
IA	Michigan	Investment Adviser Representative	Approved	01/20/2011
B	Minnesota	Agent	Approved	12/11/2012
B	New Hampshire	Agent	Approved	01/16/2019



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	12/15/2022
B Virginia	Agent	Approved	02/27/2018
B Wisconsin	Agent	Approved	02/07/2011

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
100 Crahen Ave NE
Suite 200
Grand Rapids, MI 49525

RAYMOND JAMES & ASSOCIATES, INC.
Ada, MI





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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/26/2002
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/23/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	08/31/2007
 General Securities Representative Examination (S7)	Series 7	05/04/1999

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2008
  Uniform Combined State Law Examination (S66)	Series 66	05/25/1999

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	12/05/2007 - 01/11/2011	OPPENHEIMER & CO. INC.	CRD# 249	GRAND RAPIDS, MI
B	11/10/2003 - 01/11/2011	OPPENHEIMER & CO. INC.	CRD# 249	GRAND RAPIDS, MI
IA	09/03/2003 - 11/07/2003	MCDONALD INVESTMENTS INC.	CRD# 566	GRAND RAPIDS, MI
B	07/24/2000 - 11/07/2003	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	05/05/1999 - 07/12/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
07/2020 - Present	GT Independece	Part Time Hourly Employee	Y	Ada, MI, United States
01/2011 - Present	RAYMOND JAMES AND ASSOCIATES	FINANCIAL ADVISOR	Y	GRAND RAPIDS, MI, 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: Wedgwood Christian Services Address: 3300 36th St SE, Grand Rapids, MI, 49512, United States Activity Type: Non profit Position/Title: Chair of the Board, Board Member Investment Related: Yes Start Date: 04/01/2019 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Non-profit board member, duties also include a sub-committee called the Finance Committee. This is a goverance role only for 3 3-year term



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
Customer Dispute	2
Termination	1

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
Allegations:	CLIENT ALLEGES THAT THEIR NAMES WERE FORGED ON TWO SEPARATE DOCUMENTS IN NOVEMBER 1999 AND FEBRUARY 2000.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	02/24/2000
Complaint Pending?	No
Status:	Settled
Status Date:	10/03/2000
Settlement Amount:	\$3,204.44
Individual Contribution Amount:	\$0.00

Firm Statement THIS MATTER WAS SETTLED AFTER THE FIRM LEARNED THAT MR. VANDER WEELE SIGNED THE CLIENTS' NAME TO DOCUMENTS ON TWO OCCASSIONS WITHOUT THEIR KNOWLEDGE. IN ADDITION, THE FIRM LEARNED THAT MR. VANDER WEELE HAD FAILED TO BRING CORRESPONDENCE REGARDING THIS MATTER TO MANAGEMENT'S



ATTENTION. BASED ON THE FOREGOING, THE FIRM REVERSED ALL TRADES AND FEES THAT OCCURRED IN THEIR ACCOUNTS. FURTHERMORE, THE FIRM CREDITED THE CUSTOMERS WITH INTEREST FOR THE TIME THEIR FUNDS WERE INVESTED WITH THE FIRM.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CLIENT ALLEGES THAT THEIR NAMES WERE FORGED ON TWO SEPARATE DOCUMENTS IN NOVEMBER 1999 AND FEBRUARY 2000.

Product Type: Mutual Fund

Alleged Damages: \$0.00

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: 02/24/2000

Complaint Pending? No

Status: Settled

Status Date: 10/03/2000

Settlement Amount: \$3,204.44

Individual Contribution Amount: \$0.00

Broker Statement This matter was the resolution to the 6-15-2000 allegation as previously noted in detail

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMER ALLEGES THAT MR. VANDER WEELE DID NOT EXECUTE A TRADE AT THE PRICE SPECIFIED.

Product Type: Debt - Government

Alleged Damages: \$5,906.00

Customer Complaint Information

Date Complaint Received: 06/16/2000

Complaint Pending? No

Status: Settled

Status Date: 07/14/2000



Settlement Amount: \$5,906.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMER ALLEGES THAT MR. VANDERWEELE DID NOT EXECUTE A TRADE AT THE PRICE SPECIFIED. CLIENT STATES MERRILL LYNCH DID NOT GIVE HIM A FAIR PRICE ON 2 TREASURY BONDS HE SOLD IN EARLY 2000. WE GAVE A VERBAL QUOTE TO HIM PRIOR TO SALE AS TO THE COST.

Product Type: Other: Unknown

Alleged Damages: \$5,906.00

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: 06/16/2000

Complaint Pending? No

Status: Settled

Status Date: 07/14/2000

Settlement Amount: \$5,906.00

Individual Contribution Amount: \$0.00

Broker Statement Client states Merrill Lynch did not give him a fair price on 2 Treasury Bonds he sold in early 2000. Both the local operations manager and I provided him with a verbal quote over the phone prior to the sale, and told him what it would cost. The client is age 91 and was assigned to me by the branch.



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: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Termination Type: Discharged

Termination Date: 06/15/2000

Allegations: SIGNED CLIENTS SIGNATURE FORM AND DID NOT TURN IN CORRESPONDENCE TO MANAGEMENT IN A TIMELY FASHION.

Product Type: Other: Unknown

Broker Statement

The clients were old neighbors of mine who just moved back to town and needed help in consolidating many accounts. While assisting them with transferring in the accounts to the firm we discovered two forms went unsigned. When we called the client to bring this to his attention he verbally told me to sign his name to the account opening forms to save the time and hassle of sending them in the mail. I wrote the clients name down and with my initials next to it. His spouse found out and later wrote a letter addressed to me at the local branch office, with some general questions, along with addressing the signature issue. This incoming correspondence was not documented as received by the local office, which is required, so management was surprised when I brought this correspondence to their attention several days later, along with admitting to the signature.



End of Report

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