IAPD Report

JAMES COREY VERTICH

CRD# 1960620

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JAMES COREY VERTICH (CRD# 1960620)

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 **01/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/28/1993
IA	UHLER VERTICH WHITE ADVISORS	CRD# 130716	03/02/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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	FORT MYERS, FL	07/28/1993 - 03/16/2009
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	10/29/1990 - 07/21/1993
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	10/29/1990 - 07/21/1993

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

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 **36** 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	07/28/1993
B	Alabama	Agent	Approved	01/20/2023
B	Arizona	Agent	Approved	01/04/2011
B	Arkansas	Agent	Approved	04/20/2023
B	California	Agent	Approved	05/18/2016
B	Colorado	Agent	Approved	06/12/2014
B	Connecticut	Agent	Approved	06/14/2011
B	District of Columbia	Agent	Approved	01/22/2026
B	Florida	Agent	Approved	07/28/1993
B	Georgia	Agent	Approved	09/13/2016
B	Illinois	Agent	Approved	04/20/2023
B	Indiana	Agent	Approved	07/10/2002
B	Iowa	Agent	Approved	04/20/2023

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	01/09/2006
B	Louisiana	Agent	Approved	04/20/2023
B	Maine	Agent	Approved	06/22/2022
B	Maryland	Agent	Approved	03/05/1999
B	Massachusetts	Agent	Approved	08/18/2017
B	Michigan	Agent	Approved	05/02/2019
B	Minnesota	Agent	Approved	06/04/2010
B	Missouri	Agent	Approved	04/20/2023
B	Montana	Agent	Approved	07/29/2011
B	New Jersey	Agent	Approved	10/25/2022
B	New Mexico	Agent	Approved	01/03/2019
B	New York	Agent	Approved	06/08/2021
B	North Carolina	Agent	Approved	06/25/1999
B	Ohio	Agent	Approved	02/27/2015
B	Oklahoma	Agent	Approved	04/20/2023
B	Pennsylvania	Agent	Approved	04/19/1999
B	South Carolina	Agent	Approved	02/11/2005
B	South Dakota	Agent	Approved	04/21/2021
B	Tennessee	Agent	Approved	06/16/2021

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/13/2013
B	Vermont	Agent	Approved	04/20/2023
B	Virginia	Agent	Approved	07/19/1999
B	Washington	Agent	Approved	08/12/2008
B	Wisconsin	Agent	Approved	01/09/2006

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
1510 ROYAL PALM SQ. BLVD.
SUITE 103
FORT MYERS, FL 33919

RAYMOND JAMES FINANCIAL SERVICES
Hendersonville, NC

RAYMOND JAMES FINANCIAL SERVICES
Fort Myers, FL

Employment 2 of 2

Firm Name:	**UHLER VERTICH WHITE ADVISORS**
Main Address:	1510 ROYAL PALM SQUARE BOULEVARD SUITE 103 FORT MYERS, FL 33919-1068
Firm ID#:	130716

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/02/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	06/24/2013

Branch Office Locations

UHLER VERTICH WHITE ADVISORS
1510 ROYAL PALM SQUARE BOULEVARD
SUITE 103
FORT MYERS, FL 33919-1068

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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/01/1990
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/27/1989

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	07/28/1993 - 03/16/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	FORT MYERS, FL
B	10/29/1990 - 07/21/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/29/1990 - 07/21/1993	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	06/28/1989 - 09/07/1990	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	06/28/1989 - 09/07/1990	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

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
07/2023 - Present	Uhler Vertich White Advisors, LLC	Owner/Proprietor	Y	Fort Myers, FL, United States
07/1993 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	NOT PROVIDED	Y	FORT MYERS, FL, 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: Southwest Florida Symphony Endowment Foundation Address: 9311 College Pkwy, Fort Myers, FL, 33919, United States Activity Type: Non profit Position/Title: Board Member Investment Related: Yes Start Date: 12/01/2015 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: As President, I will set the agenda and preside over all meetings. A vote to approve distributions. Additionally, I am a member of the investment committee that decides on how the funds are to be invested. I do not have any authority on the account for trading or distributions.
(2)Name of Business: Uhler Vertich White Advisors, LLC Address: 1510 Royal Palm Sq Blvd, Fort Myers, FL, 33919-1068, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 07/01/2023 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Owner

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

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:	Individual
Employing firm when activities occurred which led to the complaint:	IDS LIFE INSURANCE
Allegations:	CLIENT ALLEGED INSURANCE POLICY WAS SOLD AS AN IN FORCE, FOR THE LIFE OF THE POLICY AND GENERATING 8% INTEREST. AS INTEREST RATES HAVE DECLINED THE POLICY HAS NOT PERFORMED AS EXPECTED. REQUESTING RETURN OF PREMIUMS ($9,225) PLUS INTEREST
Product Type:	Insurance
Alleged Damages:	$9,225.00

Customer Complaint Information

Date Complaint Received:	06/01/1998
Complaint Pending?	No
Status:	Denied
Status Date:	08/07/1998
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED I ANSWERED 23I3A ABOVE SOLEY BECAUSE IT IS A MANDATORY FIELD.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: IDS LIFE INSURANCE COMPANY

Allegations: CLIENT ALLEGED INSURANCE POLICY WAS SOLD AS
IN FORCE FOR LIFE AND GENERATING 8% INTEREST. REQUESTING
RETURN
OF PREMIUMS ($9225.00) & INTEREST.

Product Type:

Alleged Damages: $9,225.00

Customer Complaint Information

Date Complaint Received: 06/01/1998

Complaint Pending? No

Status: Denied

Status Date: 08/07/1998

Settlement Amount:

Individual Contribution Amount:

Firm Statement OUR REVIEW INDICATED THE CLIENT RECEIVED FULL
AND FAIR DISCLOSURE OF THE POLICY'S FEATURED. BASED ON OUR
REVIEW WE WERE UNABLE TO SUBSTANIATE THE CLIENS REQUEST.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: IDS LIFE INSURANCE COMPANY

Allegations: CLIENT ALLEGED INSURANCE POLICY WAS SOLD AS
AN IN FORCE, FOR LIFE POLICY AND GENRATING 8% INTEREST. AS
INTEREST RATES DECLINED THE POLICY HAS NOT PERFORMED AS
EXPECTED. REQUESTING RETURN OF PREMIUMS ($9,225.00) PLUS
INTEREST.

Product Type:

Alleged Damages: $9,225.00

Customer Complaint Information

Date Complaint Received: 06/01/1998

Complaint Pending? No

Status: Denied

Status Date: 08/07/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED

NOT PROVIDED

End of Report

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