



IAPD Report

Edward Ryan Buechting

CRD# 3235635

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

Edward Ryan Buechting (CRD# 3235635)

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 **07/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/28/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/28/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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 & ASSOCIATES, INC.	705	TEMPE, AZ	08/31/2021 - 03/15/2022
B	RAYMOND JAMES & ASSOCIATES, INC.	705	TEMPE, AZ	08/08/2014 - 03/15/2022
B	EDWARD JONES	250	MESA, AZ	11/03/2000 - 08/11/2014

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



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 **34** 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	02/28/2022
B	Alaska	Agent	Approved	02/28/2022
B	Arizona	Agent	Approved	02/28/2022
B	Arkansas	Agent	Approved	02/28/2022
B	California	Agent	Approved	02/28/2022
B	Colorado	Agent	Approved	02/28/2022
B	Florida	Agent	Approved	01/03/2023
B	Georgia	Agent	Approved	01/13/2023
B	Idaho	Agent	Approved	02/28/2022
B	Illinois	Agent	Approved	04/29/2022
B	Indiana	Agent	Approved	02/28/2022
B	Iowa	Agent	Approved	03/03/2025
B	Kentucky	Agent	Approved	06/05/2023



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	03/02/2022
B Minnesota	Agent	Approved	09/09/2022
B Mississippi	Agent	Approved	02/28/2022
B Missouri	Agent	Approved	02/28/2022
B Montana	Agent	Approved	02/28/2022
B Nebraska	Agent	Approved	02/28/2022
B Nevada	Agent	Approved	01/17/2023
B New Mexico	Agent	Approved	02/28/2022
B New York	Agent	Approved	02/28/2022
B North Carolina	Agent	Approved	03/21/2022
B North Dakota	Agent	Approved	02/28/2022
B Ohio	Agent	Approved	02/28/2022
B Oklahoma	Agent	Approved	02/28/2022
B Oregon	Agent	Approved	02/28/2022
B Rhode Island	Agent	Approved	03/04/2022
B South Carolina	Agent	Approved	02/28/2022
B Tennessee	Agent	Approved	04/21/2022
B Texas	Agent	Approved	02/28/2022
B Utah	Agent	Approved	04/13/2022



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	02/28/2022
B Washington	Agent	Approved	02/28/2022
B Wisconsin	Agent	Approved	02/28/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 1988 E. Baseline Road
 Suite 101
 Tempe, AZ 85283

RAYMOND JAMES FINANCIAL SERVICES
 1895 N Trekell Road
 Suite 1, 2nd floor
 Casa Grande, AZ 85122

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 Arizona	Investment Adviser Representative	Approved	03/21/2023
IA Texas	Investment Adviser Representative	Restricted Approval	02/28/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 1988 E. Baseline Road
 Suite 101
 Tempe, AZ 85283



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, 2 general industry/product exams, and 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/02/2000
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/08/2023
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/2000
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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	08/31/2021 - 03/15/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	TEMPE, AZ
B	08/08/2014 - 03/15/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	TEMPE, AZ
B	11/03/2000 - 08/11/2014	EDWARD JONES	CRD# 250	MESA, AZ

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
02/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Tempe, AZ, United States
02/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Tempe, AZ, United States
08/2014 - 02/2022	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	TEMPE, AZ, 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: Buechting Financial, LLC Address: 1988 E Baseline Rd Ste 101, Tempe, AZ, 85283-1536, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 01/01/2021 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor and retirement planning

(2)Name of Business: Kathleen Lindquist CPA PC Address: 1988 E Baseline Rd Ste 101, Tempe, AZ, 85283-1536, United States Activity Type: Rental Real Estate Position/Title: Other Investment Related: Yes Start Date: 12/01/2022 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 the branch owner for Buechting Financial. We have a locate CPA that is wanted to sublease an empty office in our office. This would be for part of the year during tax season. We do have a small amount of clients, but we do not have referral program with the CPA. We are looking for approval for before signing a lease agreement with the CPA.



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

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: FINRA

Sanction(s) Sought:

Date Initiated: 10/03/2017

Docket/Case Number: [2016050700901](#)

Employing firm when activity occurred which led to the regulatory action: Edward Jones

Product Type: No Product

Allegations: Without admitting or denying the findings, Buechting consented to the sanctions and to the entry of findings that he caused a violation of Regulation S-P when he improperly took customers' non-public personal information from his previous member firm, without the knowledge or consent of the firm or any customer. The findings stated that in the days leading up to his departure from the firm, Buechting used his personal digital camera to take photographs of electronic client information pages relating to the clients he serviced at that firm. These photographs contained non-public personal information of these clients, including date of birth, social security number, net worth, annual income and investment objectives. Buechting took the photographs with him when he moved to a new firm and used the non-public personal information contained in the photographs to assist him with transitioning customer business to his new firm. When Buechting's new firm began to investigate his misconduct, he initially denied taking any non-public personal information of the previous firm's customers. Buechting subsequently admitted his misconduct to his new firm, which fined him \$15,000 and issued him a letter of admonishment.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/03/2017

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: all capacities
Duration: 10 business days
Start Date: 11/06/2017
End Date: 11/17/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 10/24/2017
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 10/03/2017
Docket/Case Number: [2016050700901](#)
Employing firm when activity occurred which led to the regulatory action: Edward Jones



Product Type:	No Product
Allegations:	Without admitting or denying the findings, Buechting consented to the sanctions and to the entry of findings that he caused a violation of Regulation S-P when he improperly took customers' non-public personal information from his previous member firm, without the knowledge or consent of the firm or any customer. The findings stated that in the days leading up to his departure from the firm, Buechting used his personal digital camera to take photographs of electronic client information pages relating to the clients he serviced at that firm. These photographs contained non-public personal information of these clients, including date of birth, social security number, net worth, annual income and investment objectives. Buechting took the photographs with him when he moved to a new firm and used the non-public personal information contained in the photographs to assist him with transitioning customer business to his new firm. When Buechting's new firm began to investigate his misconduct, he initially denied taking any non-public personal information of the previous firm's customers. Buechting subsequently admitted his misconduct to his new firm, which fined him \$15,000 and issued him a letter of admonishment.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/03/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	10 businessdays
Start Date:	11/06/2017
End Date:	11/17/2017
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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