IAPD Report

ANDREW CHRISTIAN ROBERT WIDING

CRD# 4855419

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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

ANDREW CHRISTIAN ROBERT WIDING (CRD# 4855419)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	05/02/2024
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	05/15/2024

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **12** 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	WELLS FARGO ADVISORS	19616	DUBLIN, OH	09/12/2006 - 05/14/2024
B	WELLS FARGO CLEARING SERVICES, LLC	19616	DUBLIN, OH	08/11/2006 - 05/14/2024
IA	MCDONALD INVESTMENTS INC.	566	DUBLIN, OH	01/24/2005 - 08/03/2006

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

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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 **12** 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	05/02/2024
B	FINRA	General Securities Sales Supervisor	Approved	05/02/2024
B	Investors' Exchange LLC	General Securities Representative	Approved	10/27/2025
B	MEMX LLC	General Securities Representative	Approved	10/27/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	10/27/2025
B	NYSE American LLC	General Securities Representative	Approved	05/02/2024
B	NYSE American LLC	General Securities Sales Supervisor	Approved	05/02/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/27/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/27/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/27/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/27/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/02/2024
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	05/02/2024

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Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	05/02/2024
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/02/2024
B	New York Stock Exchange	General Securities Representative	Approved	05/02/2024
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	05/02/2024
B	Arizona	Agent	Approved	05/02/2024
B	Colorado	Agent	Approved	03/13/2025
B	Florida	Agent	Approved	05/02/2024
B	Georgia	Agent	Approved	05/02/2024
B	Missouri	Agent	Approved	08/29/2025
B	New York	Agent	Approved	05/02/2024
B	North Carolina	Agent	Approved	08/13/2024
B	Ohio	Agent	Approved	05/02/2024
IA	Ohio	Investment Adviser Representative	Approved	05/15/2024
B	Pennsylvania	Agent	Approved	05/02/2024
B	South Carolina	Agent	Approved	05/02/2024
B	Tennessee	Agent	Approved	05/02/2024
B	Virginia	Agent	Approved	05/02/2024

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
6745 Longshore St

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Qualifications

Suite 220
Dublin, OH 43017

RAYMOND JAMES & ASSOCIATES, INC.
Columbus, OH

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/28/2018
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/03/2016

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	10/25/2004

State Securities Law Exams

		Exam	Category	Date
IA	B	Uniform Combined State Law Examination (S66)	Series 66	01/21/2005

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	09/12/2006 - 05/14/2024	WELLS FARGO ADVISORS	CRD# 19616	DUBLIN, OH
B	08/11/2006 - 05/14/2024	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	DUBLIN, OH
IA	01/24/2005 - 08/03/2006	MCDONALD INVESTMENTS INC.	CRD# 566	DUBLIN, OH
B	10/28/2004 - 08/03/2006	MCDONALD INVESTMENTS INC.	CRD# 566	DUBLIN, OH

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
05/2024 - Present	Raymond James & Associates, INC	Registered Representative	Y	Dublin, OH, United States
11/2016 - 05/2024	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	COLUMBUS, OH, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	COLUMBUS, OH, 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.

No information reported.

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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.

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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

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:	Individual
Regulatory Action Initiated By:	OHIO DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	VIOLATION OF SECTION 3905.14B1 OF OHIO REVISED CODE. FAILURE TO DISCLOSE CONVICTION OF DISORDERLY CONDUCT ON APPLICATION FOR INSURANCE LICENSE. NO SANCTIONS WERE ORDERED. SETTLED BY CONSENT ORDER.
Date Initiated:	11/30/2005
Docket/Case Number:	NO HEARING - ISSUANCE OF CONSENT ORDER
Employing firm when activity occurred which led to the regulatory action:	MCDONALD FINANCIAL GROUP
Product Type:	Insurance
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE CONVICTION OF DISORDERLY CONDUCT ON APPLICATION FOR OHIO INSURANCE LICENSE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/08/2005
Sanctions Ordered:	Monetary/Fine $400.00
Other Sanctions Ordered:	

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Sanction Details:	NO SANCTIONS - SETTLED BY CONSENT ORDER AND PAYMENT OF FINE.
Broker Statement	NON-DISCLOSURE WAS UNINTENTIONAL, AND OHIO DEPARTMENT OF INSURANCE SETTLED THROUGH CONSENT ORDER AND PAYMENT OF FINE. OHIO INSURANCE LICENSE CURRENTLY HELD.

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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:	FRANKLIN COUNTY MUNICIPAL COURT, CASE#18036/00
Charge Date:	07/14/2000
Charge Details:	2911.21A3: CRIMINAL TRESPASS ONE COUNT, MISDEMEANOR, NOT INVESTMENT RELATED, PLEAD GUILTY TO A REDUCED CHARGE OF DISORDERLY CONDUCT 4507.30A PROHIBITED ACTS (POSSESSION OF AN ALTERED OHIO DRIVER'S LICENSE) CHARGE WAS DISMISSED, NOT INVESTMENT RELATED
Felony?	No
Current Status:	Final
Status Date:	09/06/2000
Disposition Details:	2911.21A3 CRIMINAL TRESPASS ACCEPTED REDUCED CHARGE OF DISORDERLY CONDUCT ON 9/6/00, PENALTY WAS $150 AND COURT COSTS PAID 10/12/00. 4507.30A PROHIBITED ACTS (POSSESSION OF AN ALTERED OHIO DRIVER'S LICENSE) CHARGE WAS DISMISSED
Broker Statement	SEVERAL FRIENDS & I NOTICED AN OPEN GATE IN A FOOTBALL STADIUM ON OUR WAY HOME FROM A GAME, AND WENT IN TO LOOK AT CONSTRUCTION THAT WAS TAKING PLACE. ON OUR WAY OUT OF THE STADUIM WE WERE SEEN BY POLICE AND CITED FOR CRIMINAL TRESPASS. I HAD NO CRIMINAL INTENT IN ENTERING THE STADIUM, BUT REALIZED AFTERWARD WE SHOULD NOT HAVE ENTERED DUE TO NOTICES POSTED.

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End of Report

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