



## IAPD Report

# JOHN THOMAS UHLER

CRD# 501276

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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

### JOHN THOMAS UHLER (CRD# 501276)

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 **01/13/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	10/04/1990
<b>IA</b>	UHLER VERTICH WHITE ADVISORS	CRD# 130716	03/02/2007

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL	01/17/1991 - 03/16/2009
<b>B</b>	SECURICORP, INC.	16075	ST. PETERSBURG, FL	03/14/1985 - 10/09/1990
<b>B</b>	J. MILTON NEWTON, INCORPORATED	7109	ST. PETERSBURG, FL	04/23/1976 - 12/24/1984

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 **37** 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>B</b> FINRA	General Securities Principal	Approved	10/04/1990
<b>B</b> FINRA	General Securities Representative	Approved	10/04/1990
<b>B</b> FINRA	Municipal Securities Principal	Approved	10/04/1990
<b>B</b> FINRA	Municipal Securities Representative	Approved	10/04/1990
<b>B</b> Alabama	Agent	Approved	01/20/2023
<b>B</b> Arizona	Agent	Approved	01/06/2011
<b>B</b> Arkansas	Agent	Approved	01/10/2006
<b>B</b> California	Agent	Approved	05/18/2016
<b>B</b> Colorado	Agent	Approved	06/13/2014
<b>B</b> Connecticut	Agent	Approved	06/24/2011
<b>B</b> District of Columbia	Agent	Approved	01/14/2026
<b>B</b> Florida	Agent	Approved	10/04/1990
<b>B</b> Georgia	Agent	Approved	02/18/2014



### Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	03/30/1998
B Indiana	Agent	Approved	04/13/1999
B Iowa	Agent	Approved	12/06/2016
B Kentucky	Agent	Approved	01/13/2006
B Louisiana	Agent	Approved	08/08/2022
B Maine	Agent	Approved	06/22/2022
B Maryland	Agent	Approved	07/26/1996
B Massachusetts	Agent	Approved	08/23/2017
B Michigan	Agent	Approved	05/06/2019
B Minnesota	Agent	Approved	06/09/2010
B Missouri	Agent	Approved	04/27/2018
B Montana	Agent	Approved	07/29/2011
B New Jersey	Agent	Approved	02/01/1996
B New Mexico	Agent	Approved	01/03/2019
B New York	Agent	Approved	03/04/2020
B North Carolina	Agent	Approved	08/01/1997
B Ohio	Agent	Approved	02/27/2015
B Oklahoma	Agent	Approved	08/08/2022
B Pennsylvania	Agent	Approved	07/22/1999



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	02/23/2005
<b>B</b> South Dakota	Agent	Approved	04/29/2021
<b>B</b> Tennessee	Agent	Approved	06/17/2021
<b>B</b> Texas	Agent	Approved	01/04/2013
<b>B</b> Utah	Agent	Approved	07/22/2022
<b>B</b> Vermont	Agent	Approved	02/28/2023
<b>B</b> Virginia	Agent	Approved	07/11/2002
<b>B</b> Washington	Agent	Approved	08/12/2008
<b>B</b> Wisconsin	Agent	Approved	01/10/2006

### Branch Office Locations

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

### 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
<b>IA</b> Florida	Investment Adviser Representative	Approved	03/02/2007
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	06/25/2013



## Qualifications

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


#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 General Securities Principal Examination (S24)	Series 24	08/07/1984

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/16/1983
 Municipal Securities Representative Examination (S52)	Series 52	04/12/1979

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1979

### 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	01/17/1991 - 03/16/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ST. PETERSBURG, FL
B	03/14/1985 - 10/09/1990	SECURICORP, INC.	CRD# 16075	
B	04/23/1976 - 12/24/1984	J. MILTON NEWTON, INCORPORATED	CRD# 7109	

### 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	Partner	Y	Fort Myers, FL, United States
10/1990 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	FORT MYERS, FL, United States
03/2004 - 03/2024	UHLER AND VERTICH FINANCIAL PLANNERS, LLC	Other	N	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: Florida Cancer Specialists Foundation Address: 5985 Silver Falls Run, Suite 210, Sarasota, FL, 34211, United States Activity Type: Non profit Position/Title: Officer - Treasurer Investment Related: Yes Start Date: 01/02/2013 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-check-signing, non-fundraising board treasurer

(2) Name of Business: Uhler Vertich White Advisors, LLC Address: 1510 Royal Palm Sq Blvd Ste 103, Fort Myers, FL, 33919, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/01/2004 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41-80 Description of duties: Co-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
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:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/02/1990

**Docket/Case Number:** ATL-1260-AWC

**Employing firm when activity occurred which led to the regulatory action:** SECURICORP, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/28/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$1,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON DECEMBER 28, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. ATL-1260-AWC (DISTRICT NO. 7) SUBMITTED BY



RESPONDENTS SECURICORP, INC., JOHN T. UHLER AND LINDA G. MAIER WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS

UHLER AND MAIER, EFFECTED TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL).

\*\*\*\$1,000.00 J&S PAID ON 1/28/91 INVOICE #91-07-35\*\*\*

ON DECEMBER 28, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. ATL-1260-AWC (DISTRICT NO. 7) SUBMITTED BY RESPONDENTS SECURICORP, INC., JOHN T. UHLER AND LINDA G. MAIER WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS

UHLER AND MAIER, EFFECTED TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL).

\*\*\*\$1,000.00 J&S PAID ON 1/28/91 INVOICE #91-07-35\*\*\*

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:** FINE

**Date Initiated:** 07/02/1990

**Docket/Case Number:** ATL-1260-AWC

**Employing firm when activity occurred which led to the regulatory action:** SECURICORP, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THAT THE FIRM WITH WHICH I WAS ASSOCIATED AS A PRINCIPAL WAS DEFICIENT BY \$2,804 NET CAPITAL (\$25,000 REQUIRED \$22,196 ACTUAL) ON MARCH 30, 1990.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/28/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$1,000.00

**Other Sanctions Ordered:**

**Sanction Details:** \$1000 FINE (TO CORPORATION, SECURICORP, LINDA G. MAIER, REGISTERED PRINCIPAL AND J. THOMAS UHLER, REGISTERED PRINCIPAL).

**Broker Statement** ON DECEMBER 28, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. ATL-1260-AWC (DISTRICT NO. 7) SUBMITTED BY RESPONDENTS SECURICORP, INC., JOHN T. UHLER AND LINDA C. MAIER WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000,



JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS UHLER AND MAIER, EFFECTED TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL). \*\*\*\$1,000.00  
J&S PAID ON 1/28/91 INVOICE #91-07-38



## End of Report

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