



## IAPD Report

### STEPHEN JAMES MASER

CRD# 6305930

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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

### STEPHEN JAMES MASER (CRD# 6305930)

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 **12/11/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES (USA) LTD.	CRD# 25853	07/15/2014
<b>IA</b>	RAYMOND JAMES (USA) LTD	CRD# 25853	03/23/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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
No information reported.			

No information reported.

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?

**No**



## 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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **RAYMOND JAMES (USA) LTD**  
Main Address: 2100-925 WEST GEORGIA STREET  
VANCOUVER, Canada V6C3L2  
Firm ID#: 25853

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	07/15/2014
 Arizona	Agent	Approved	10/17/2017
 California	Agent	Approved	03/23/2015
 California	Investment Adviser Representative	Approved	03/23/2015
 Hawaii	Agent	Approved	02/18/2022
 Nevada	Agent	Approved	01/03/2017
 New York	Agent	Approved	08/25/2016
 Oregon	Agent	Approved	06/12/2018
 Washington	Agent	Approved	11/15/2022

#### Branch Office Locations

**RAYMOND JAMES (USA) LTD**  
448 West Avenue  
Kelowna, BC, Canada V1Y 4Z2

**RAYMOND JAMES (USA) LTD**  
West Kelowna, Canada



## 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 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	07/15/2014

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	03/19/2015

### 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:

No information reported.

### 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
02/2014 - Present	RAYMOND JAMES (USA) LTD.	FINANCIAL ADVISOR	Y	KELOWNA, BRITISH COLUMBIA, Canada
01/2008 - Present	RAYMOND JAMES LTD	FINANCIAL ADVISOR	Y	KELOWNA, BRITISH COLUMBIA, Canada

### 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)RAYMOND JAMES LTD ("RJL"), A REGISTERED INVESTMENT DEALER WITH IIROC, IS THE CANADIAN AFFILIATE AND PARENT COMPANY OF RAYMOND JAMES (USA) LTD. THE BUSINESS IS INVESTMENT RELATED. STEPHEN MASER IS LOCATED AT SUITE 500, 1726 DOLPHIN AVENUE, KELOWNA, BRITISH COLUMBIA, CANADA, V1Y 9R9 AND HAS BEEN EMPLOYED SINCE JANUARY 9, 2008. HE IS A FULL TIME EMPLOYEE AND HIS TITLE WITH RJL IS "FINANCIAL ADVISOR". HE DEVOTES 320 HOURS A MONTH TO THIS BUSINESS DURING BUSINESS AND TRADING HOURS. HIS JOB DUTIES INCLUDE SALES.

(2)RAYMOND JAMES FINANCIAL PLANNING LTD ("RJFP") IS THE INSURANCE AND ESTATE PLANNING DIVISION OF RAYMOND JAMES LTD. RJFP DEALS WITH INSURANCE SOLUTIONS, WEALTH MANAGEMENT, TAX AND ESTATE PLANNING AND BUSINESS CONTINUITY. STEPHEN MASER IS LOCATED AT SUITE 500, 1726 DOLPHIN AVENUE, KELOWNA, BRITISH COLUMBIA, CANADA, V1Y 9R9 AND HAS BEEN LICENSED WITH RJFP SINCE MAY, 2009. HE IS A FULL-TIME EMPLOYEE. HE DEVOTES 5 HOURS A MONTH TO THIS BUSINESS. HIS JOB DUTIES INCLUDE LIFE INSURANCE SALES &/OR FINANCIAL PLANNING.



## **End of Report**

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