

BrokerCheck Report

ERNEST RICHARD MENDOZA

CRD# 2845828

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**ERNEST R. MENDOZA**

CRD# 2845828

Currently employed by and registered with the following Firm(s):

IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 14100 SAN PEDRO AVE
 SUITE 415
 SAN ANTONIO, TX 78232
 CRD# 149018
 Registered with this firm since: 01/02/2009

B RAYMOND JAMES FINANCIAL SERVICES, INC.
 14100 SAN PEDRO AVE
 SUITE 415
 SAN ANTONIO, TX 78232
 CRD# 6694
 Registered with this firm since: 05/26/2006

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 12 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA RAYMOND JAMES FINANCIAL SERVICES**
 CRD# 6694
 ST. PETERSBURG, FL
 06/2006 - 01/2009
- B WADDELL & REED, INC.**
 CRD# 866
 SAN ANTONIO, TX
 01/2000 - 06/2006
- IA WADDELL & REED, INC.**
 CRD# 866
 OVERLAND PARK, KS
 01/2000 - 06/2006

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Office Address: **880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716**
 Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	Mississippi	Investment Adviser Representative	Approved	05/11/2015
IA	Texas	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

14100 SAN PEDRO AVE
 SUITE 415
 SAN ANTONIO, TX 78232

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
 Main Office Address: **880 CARILLON PARKWAY
 ST. PETERSBURG, FL 33716**
 Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/26/2006
B	FINRA	General Securities Representative	Approved	05/26/2006
B	FINRA	Municipal Fund	Approved	01/18/2010

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	06/21/2012
B	California	Agent	Approved	03/10/2008
B	District of Columbia	Agent	Approved	09/29/2017
B	Florida	Agent	Approved	03/13/2015
B	Illinois	Agent	Approved	09/01/2021
B	Louisiana	Agent	Approved	04/17/2008
B	Maryland	Agent	Approved	09/29/2017
B	Mississippi	Agent	Approved	05/05/2015
B	Ohio	Agent	Approved	01/03/2012
B	Tennessee	Agent	Approved	10/08/2024
B	Texas	Agent	Approved	05/26/2006
B	Virginia	Agent	Approved	12/04/2019

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
 14100 SAN PEDRO AVE
 SUITE 415
 SAN ANTONIO, TX 78232



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Fund Securities Principal Examination	Series 51	01/14/2010
B General Securities Principal Examination	Series 24	12/27/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	06/20/1997
B General Securities Representative Examination	Series 7	04/04/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/15/2000
B Uniform Securities Agent State Law Examination	Series 63	02/24/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 06/2006 - 01/2009	RAYMOND JAMES FINANCIAL SERVICES	6694	SAN ANTONIO, TX
B 01/2000 - 06/2006	WADDELL & REED, INC.	866	SAN ANTONIO, TX
IA 01/2000 - 06/2006	WADDELL & REED, INC.	866	SAN ANTONIO, TX
B 03/1999 - 01/2000	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
B 12/1998 - 03/1999	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA
B 05/1997 - 04/1998	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 04/1997 - 05/1997	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 04/1997 - 05/1997	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
12/2023 - Present	Richard Mendoza Wealth Services	Officer - CEO	N	San Antonio, TX, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	SAN ANTONIO, TX, United States
07/2006 - Present	OPTIMA WEALTH MANAGEMENT, LLC	MAINTENANCE AND OFFICE SERVICES MANAGER	N	SAN ANTONIO, TX, United States
05/2006 - 12/2019	RAYMOND JAMES FINANCIAL SERVICES INC.	Other	N	SAN ANTONIO, TX, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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: Manager/Owner Address: 14100 San Pedro Ave Ste 415, San Antonio, TX, 78232, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 06/23/2017 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Manager/Owner: Purchase and lease office equipment and furniture for my office ranging from conference room tables, chairs, desks, computers, printers, etc... To provide internet, telecommunication services etc... It will act office support.

(2) Name of Business: Richard Mendoza Wealth Services Address: 14100 San Pedro Ave Ste 415, San Antonio, TX, 78232-4378, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 12/19/2023 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Independent Financial Advisor through Raymond James

End of Report



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