



IAPD Report

GEORGE EDWARD THIERGARTNER

CRD# 1123867

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

GEORGE EDWARD THIERGARTNER (CRD# 1123867)

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 **03/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/04/2025
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/05/2025

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **16** 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	B. RILEY WEALTH ADVISORS, INC.	115927	MAITLAND, FL	09/14/2020 - 04/08/2025
B	B. RILEY WEALTH MANAGEMENT	2543	MAITLAND, FL	07/22/2022 - 04/04/2025
B	NATIONAL SECURITIES CORPORATION	7569	MAITLAND, FL	09/03/2020 - 07/22/2022

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
Customer Dispute	3
Termination	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 **16** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**
Main Address: 501 N BROADWAY
ST LOUIS, MO 63102
Firm ID#: 793

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/04/2025
B FINRA	General Securities Representative	Approved	04/04/2025
B NYSE American LLC	General Securities Representative	Approved	04/04/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/04/2025
B Nasdaq Stock Market	General Securities Representative	Approved	04/04/2025
B New York Stock Exchange	General Securities Representative	Approved	04/04/2025
B Alabama	Agent	Approved	04/04/2025
B California	Agent	Approved	04/04/2025
B Florida	Agent	Approved	04/07/2025
IA Florida	Investment Adviser Representative	Approved	04/07/2025
B Georgia	Agent	Approved	04/04/2025
B Iowa	Agent	Approved	04/04/2025
B Missouri	Agent	Approved	04/04/2025



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	04/04/2025
B Nevada	Agent	Approved	04/04/2025
B New York	Agent	Approved	04/04/2025
B North Carolina	Agent	Approved	04/04/2025
B Pennsylvania	Agent	Approved	04/04/2025
B South Carolina	Agent	Approved	04/04/2025
B Tennessee	Agent	Approved	04/04/2025
B Texas	Agent	Approved	04/04/2025
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2025
B Virginia	Agent	Approved	03/17/2026
B Washington	Agent	Approved	04/04/2025

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
400 International Parkway
SUITE 130
Heathrow, FL 32746



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	04/16/1983
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State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	04/28/2016
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	Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/1996
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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	09/14/2020 - 04/08/2025	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	MAITLAND, FL
B	07/22/2022 - 04/04/2025	B. RILEY WEALTH MANAGEMENT	CRD# 2543	MAITLAND, FL
B	09/03/2020 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	MAITLAND, FL
IA	07/12/2012 - 09/21/2020	MOORS & CABOT, INC	CRD# 594	WINTER PARK, FL
B	06/15/2012 - 09/21/2020	MOORS & CABOT, INC.	CRD# 594	WINTER PARK, FL
IA	05/05/2011 - 05/29/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	WINTER PARK, FL
B	03/15/2011 - 05/29/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	WINTER PARK, FL
IA	06/19/2007 - 04/08/2011	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PONTE VEDRA BEACH,
B	06/18/2007 - 04/08/2011	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PONTE VEDRA BEACH,
B	07/31/1993 - 06/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WINTER PARK, FL
IA	07/31/1993 - 06/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WINTER PARK, FL
B	01/15/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	11/07/1986 - 01/22/1991	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	08/08/1984 - 11/13/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	04/19/1983 - 08/13/1984	PAINWEBBER INCORPORATED	CRD# 8174	

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
04/2025 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Vice President/Investments	Y	Heathrow, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2022 - 04/2025	B. RILEY WEALTH MANAGEMENT	Mass Transfer	Y	MAITLAND, FL, United States
09/2020 - 04/2025	B. RILEY WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	MAITLAND, FL, United States
09/2020 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	Maitland, FL, United States
06/2012 - 09/2020	MOORS & CABOT	REGISTERED REPRESENTATIVE	Y	WINTER PARK, 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) B. RILEY WEALTH INSURANCE CORPORATION, FIXED INSURANCE, AGENT START 9-2020, MAITLAND, FL, 6 HRS PER MONTH/ DURING TRADING HRS, INVESTMENT RELATED...



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
Customer Dispute	3
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	CLIENT, RESIDENT OF FLORIDA, ALLEGES THAT FA GEORGE THIERGARTNER MADE EXCESSIVE TRADES IN THE CLIENT'S ACCOUNTS AND PROVIDED DELIBERATELY MISLEADING INFORMATION REGARDING FEE BASED ACCOUNTS. CLIENT DEMANDS REIMBURSEMENT FOR COMMISSIONS CHARGED TO THE ACCOUNTS IN THE AMOUNT OF APPROXIMATELY \$175,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$175,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	15-00505
Filing date of arbitration/CFTC reparation or civil litigation:	03/25/2015

**Customer Complaint Information****Date Complaint Received:** 03/31/2015**Complaint Pending?** No**Status:** Settled**Status Date:** 02/22/2016**Settlement Amount:** \$82,500.00**Individual Contribution Amount:** \$0.00**Firm Statement** COMPLAINT EVOLVED INTO ARBITRATION ON MARCH 25, 2015. IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID POTENTIALLY COSTLY LITIGATION, THIS MATTER WAS SETTLED ON FEBRUARY 22, 2016 IN THE AMOUNT OF \$82,500.**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** JANNEY MONTGOMERY SCOTT LLC**Allegations:** CLIENT, RESIDENT OF FLORIDA, ALLEGES THAT FA GEORGE THIERGARTNER MADE EXCESSIVE TRADES IN CLIENT'S ACCOUNTS AND PROVIDED DELIBERATELY MISLEADING INFORMATION REGARDING FEE BASED ACCOUNTS. CLIENT DEMANDS REIMBURSEMENT FOR COMMISSIONS CHARGED TO THE ACCOUNTS IN THE AMOUNT OF APPROXIMATELY \$175,000.**Product Type:** Equity Listed (Common & Preferred Stock)**Alleged Damages:** \$175,000.00**Is this an oral complaint?** No**Is this a written complaint?** Yes**Is this an arbitration/CFTC reparation or civil litigation?** Yes**Arbitration/Reparation forum or court name and location:** FINRA**Docket/Case #:** 15-00505**Filing date of arbitration/CFTC reparation or civil litigation:** 03/25/2015**Customer Complaint Information****Date Complaint Received:** 03/31/2015**Complaint Pending?** No**Status:** Settled**Status Date:** 02/22/2016**Settlement Amount:** \$82,500.00**Individual Contribution Amount:** \$0.00



Broker Statement

COMPLAINT EVOLVED INTO ARBITRATION ON MARCH 25, 2015. MR. THIERGARTNER ADAMANTLY DISPUTES THE ALLEGATIONS PRESENTED WITHIN THIS CUSTOMER COMPLAINT. Per Janney U-5 Filing, "in the interest of customer relations and to avoid potentially costly litigation, this matter was settled on February 22, 2016 in the amount of \$82,500."

Disclosure 2 of 3

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL-BACHE

Allegations:

ALLEGES SHORT-TERM TRADING OF GOVERNMENT BONDS FUND WITH DAMAGES IN EXCESS OF \$10,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details:

HARRIS COUNTY, TX; 91-045123

Date Notice/Process Served:

09/01/1991

Litigation Pending?

No

Disposition:

Settled

Disposition Date:

04/05/1992

Monetary Compensation Amount:

\$11,216.00

Individual Contribution Amount:

\$0.00

Firm Statement

SETTLED FOR \$11,216.00
Not Provided

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL-BACHE

Allegations:

ALLEGES SHORT-TERM TRADING OF GOVERNMENT BONDS FUND WITH DAMAGES IN EXCESS OF \$10,000.

Product Type:

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution
Amount:****Civil Litigation Information****Court Details:** HARRIS COUNTY, TX; 91-045123**Date Notice/Process Served:** 09/01/1991**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 04/05/1992**Monetary Compensation
Amount:** \$11,216.00**Individual Contribution
Amount:** \$0.00**Broker Statement**

SETTLED \$11,216 IN FULL BY PRUDENTIAL BACHE. I MADE NO PAYMENTS TOWARDS THE SETTLEMENT. THIS PROCEEDING WAS HANDLED EXCLUSIVELY BY PRUDENTIAL. I HAD NO INPUT OR SAY IN ITS RESOLUTION. PROCEEDING WAS NOT INITIATED BY CLIENT BUT FROM THE HEIRS OF HIS ESTATE.

Disclosure 3 of 3**Reporting Source:** Firm**Employing firm when
activities occurred which led
to the complaint:** PRUDENTIAL-BACHE**Allegations:** THE [CUSTOMERS] ALLEGED THAT MR. THIERGARTNER RECOMMENDED UNSUITABLE OPTIONS AND STOCKS, AND THAT THE [CUSTOMERS] LOST \$258,000.00 AS A RESULT THEREOF.**Product Type:****Alleged Damages:** \$258,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:**



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00741

Date Notice/Process Served: 02/20/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/12/1992

Monetary Compensation Amount: \$127,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED FOR \$127,000.00 [CUSTOMERS] DIRECTED ALL SECURITIES TRADING IN THEIR ACCOUNT OVER A THREE YEAR PERIOD, AND WERE FULLY AWARE OF ALL RISKS AND REWARDS ATTENDANT TO THEIR TRADING.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE

Allegations: THE [CUSTOMER'S] ALLEGED THAT PRUDENTIAL AND THAT MR. THIERGARTNER RECOMMENDED UNSUITABLE OPTIONS AND STOCKS, AND THEN THAT THE [CUSTOMERS] LOST \$258,000 AS A RESULT THEREOF.

Product Type:

Alleged Damages: \$258,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00741

Date Notice/Process Served: 02/20/1991



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/12/1992
Monetary Compensation Amount:	\$127,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$127,000. SETTLEMENT WAS PAID IN FULL BY PRUDENTIAL BACHE. I MADE NO PAYMENTS TOWARDS THE SETTLEMENT. [CUSTOMER'S] DIRECTED ALL SECURITIES TRADING IN THEIR ACCOUNT OVER A THREE YEAR PERIOD, AND WERE FULLY AWARE OF ALL RISKS AND REWARDS ATTENDANT TO THEIR TRADING.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC.
Termination Type: Discharged
Termination Date: 05/24/2012
Allegations: EXERCISED DISCRETION IN 2 CUSTOMERS' ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMERS TO DO SO.
Product Type: No Product

Reporting Source: Individual
Firm Name: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Termination Type: Discharged
Termination Date: 05/24/2012
Allegations: EXERCISED DISCRETION IN 2 CUSTOMERS' ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMERS TO DO SO.
Product Type: No Product



End of Report

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