



## IAPD Report

# JODY GORDON SCHEIMAN

CRD# 1124370

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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

### JODY GORDON SCHEIMAN (CRD# 1124370)

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 **01/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/10/2005
<b>IA</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/12/2005

### QUALIFICATIONS

This representative is currently registered in **5** SRO(s) and **28** 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>	UBS FINANCIAL SERVICES INC.	8174	COLUMBUS, OH	08/16/1999 - 08/10/2005
<b>B</b>	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	06/09/1989 - 08/10/2005
<b>B</b>	BLUNT ELLIS & LOEWI INCORPORATED	7580	WEEHAWKEN, NJ	04/14/1983 - 06/19/1989

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	2
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 **28** jurisdiction(s) and 5 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>B</b>	FINRA	General Securities Representative	Approved	08/10/2005
<b>B</b>	FINRA	Municipal Securities Representative	Approved	08/10/2005
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	08/10/2005
<b>B</b>	NYSE American LLC	Municipal Securities Representative	Approved	08/10/2005
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	08/10/2005
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	08/10/2005
<b>B</b>	New York Stock Exchange	Municipal Securities Representative	Approved	08/10/2005
<b>B</b>	Arizona	Agent	Approved	08/10/2005
<b>B</b>	Arkansas	Agent	Approved	05/28/2019
<b>B</b>	California	Agent	Approved	08/10/2005
<b>B</b>	Colorado	Agent	Approved	08/10/2005
<b>B</b>	Connecticut	Agent	Approved	06/10/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> District of Columbia	Agent	Approved	08/10/2005
<b>B</b> Florida	Agent	Approved	08/10/2005
<b>B</b> Georgia	Agent	Approved	08/10/2005
<b>B</b> Hawaii	Agent	Approved	08/10/2005
<b>B</b> Illinois	Agent	Approved	03/31/2009
<b>B</b> Kansas	Agent	Approved	08/10/2005
<b>B</b> Maryland	Agent	Approved	03/27/2008
<b>B</b> Massachusetts	Agent	Approved	08/10/2005
<b>B</b> Michigan	Agent	Approved	08/10/2005
<b>B</b> Nevada	Agent	Approved	01/07/2014
<b>B</b> New Jersey	Agent	Approved	08/10/2005
<b>B</b> New York	Agent	Approved	08/10/2005
<b>B</b> North Carolina	Agent	Approved	07/08/2008
<b>B</b> Ohio	Agent	Approved	08/10/2005
<b>IA</b> Ohio	Investment Adviser Representative	Approved	08/12/2005
<b>B</b> Oregon	Agent	Approved	09/02/2016
<b>B</b> Pennsylvania	Agent	Approved	08/10/2005
<b>B</b> Rhode Island	Agent	Approved	01/02/2014
<b>B</b> South Carolina	Agent	Approved	09/30/2008



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Dakota	Agent	Approved	05/01/2013
<b>B</b> Texas	Agent	Approved	08/10/2005
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	11/25/2013
<b>B</b> Utah	Agent	Approved	08/10/2005
<b>B</b> Virginia	Agent	Approved	08/10/2005
<b>B</b> Wisconsin	Agent	Approved	01/03/2014

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
4449 EASTON WAY  
SUITE 120  
COLUMBUS, OH 43219



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




#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	10/26/1981

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/21/1983
 Municipal Securities Representative Examination (S52)	Series 52	06/21/1980

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/20/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/1983

### 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	08/16/1999 - 08/10/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	COLUMBUS, OH
B	06/09/1989 - 08/10/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	04/14/1983 - 06/19/1989	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	

### 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
08/2005 - Present	STIFEL NICOLAUS & CO., INC.	INVESTMENT EXECUTIVE	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.

1. Center for Healthy Families; 500 South Front Street, Columbus, OH 43215; Working with pregnant and parenting teens in minority neighborhoods; Board Member; General Board of Trustees responsibilities; 09/01/2023; 8 Hours per Month; During Securities Trading Hours; Not 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
Regulatory Event	2
Termination	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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	OHIO DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Suspension
<b>Other Sanction(s) Sought:</b>	10 DAY SUSPENSION OF OHIO INVESTMENT ADVISER REPRESENTATIVE AND OHIO SECURITES SALESPERSON LICENSES
<b>Date Initiated:</b>	06/05/2007
<b>Docket/Case Number:</b>	07-410
<b>Employing firm when activity occurred which led to the regulatory action:</b>	UBS FINANCIAL SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	REPORTED INCIDENTS ALREADY WITHIN THE CRD CONSTITUTED CONDUCT UNDER OHIO REVISED CODE SECTION 1707.19(A)(1) AND OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D).
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 11/01/2007

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** N/A

**Regulator Statement** CONSENT AGREEMENT ENTERED INTO BY JODY SCHEIMAN IN WHICH SHE AGREED TO THE 10 DAY SUSPENSION OF HER OHIO LICENSES FROM NOVEMBER 2, 2007 THROUGH NOVEMBER 11, 2007 FOR CONDUCT ALREADY REPORTED WITHIN INCIDENTS ON HER CRD RECORD.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** OHIO DIVISION OF SECURITIES

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** 10 DAY SUSPENSION OF OHIO INVESTMENT ADVISER REPRESENTATIVE AND OHIO SECURITIES SALESPERSON LICENSES.

**Date Initiated:** 06/05/2007

**Docket/Case Number:** 07-410

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** REPORTED INCIDENTS ALREADY WITHIN THE CRD CONSTITUTED CONDUCT UNDER OHIO REVISED CODE SECTION 1707.19(A)(1) AND OHIO ADMINISTRATIVE CODE RUEL 1301:6-3-19(D).

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 11/01/2007

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENSION OF OHIO LICENSES FROM NOVEMBER 2, 2007 THROUGH NOVEMBER 11, 2007.

**Broker Statement** CONSENT AGREEMENT ENTERED INTO BY JODY SCHEIMAN IN WHICH SHE AGREED TO THE 10 DAY SUSPENSION OF HER OHIO LICENSES FOR CONDUCT ALREADY REPORTED WITHIN INCIDENTS ON HER CRD RECORD.



**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/15/2006

**Docket/Case Number:** [2005002264901](#)

**Employing firm when activity occurred which led to the regulatory action:** UBS FINANCIAL SERVICES INC.

**Product Type:** Insurance

**Other Product Type(s):**

**Allegations:** NASD RULE 2110 - JODY G. SCHEIMAN HAD HER HOUSEKEEPER POSE AS HER AUNT ON A TELEPHONE CALL TO A MEMBER FIRM TO OBTAIN INFORMATION ABOUT AN INSURANCE POLICY THE AUNT OWNED AND SCHEIMAN LED HER EMPLOYING MEMBER FIRM TO UNDERSTAND THAT THE PHONE CALL HAD BEEN MADE BY HER AUNT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 09/15/2006

**Sanctions Ordered:** Monetary/Fine \$7,500.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, SCHEIMAN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, SHE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM OCTOBER 2, 2006 THROUGH OCTOBER 13, 2006.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/15/2006

**Docket/Case Number:** [2005002264901](#)



**Employing firm when activity occurred which led to the regulatory action:** UBS FINANCIAL SERVICES INC.

**Product Type:** Insurance

**Other Product Type(s):**

**Allegations:** NASD RULE 2110 - JODY G. SCHEIMAN HAD HER HOUSEKEEPER POSE AS HER AUNT ON A TELEPHONE CALL TO A MEMBER FIRM TO OBTAIN INFORMATION ABOUT AN INSURANCE POLICY THE AUNT OWNED AND SCHEIMAN LED HER EMPLOYING MEMBER FIRM TO UNDERSTAND THAT THE PHONE CALL HAD BEEN MADE BY HER AUNT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 09/15/2006

**Sanctions Ordered:** Monetary/Fine \$7,500.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, SCHEIMAN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, SHE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM OCTOBER 2, 2006 THROUGH OCTOBER 13, 2006.



## 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:** UBS FINANCIAL SERVICES INC.

**Termination Type:** Discharged

**Termination Date:** 08/03/2005

**Allegations:** DISCHARGED IN CONNECTION WITH HER CONDUCT WITH RESPECT TO A CLIENT WHO WAS HER HUSBAND'S RELATIVE.AMONG OTHER THINGS, MS. SCHEIMAN ACKNOWLEDGED THAT SHE SIGNED THE CLIENT'S NAME ON A LIFE INSURANCE POLICY LIQUIDATION REQUEST FOEM, INSTRUCTED ANOTHER INDIVIDUAL TO IMPERSONATE THE CLIENT ON A TELEPHONE CALL TO THE INSURANCE COMPANY HOLDING THE CLIENT'S POLICY, COMMINGLED THE CLIENT'S FUNDS WITH HER OWN ACCOUNT OUTSIDE THE FIRM, AND PROVIDED UNTRUTHFUL INFORMATION DURING AN INTERNAL REVIEW OF THE MATTER.

**Product Type:** Other

**Other Product Types:** NON-APPLICABLE

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**Reporting Source:** Individual

**Firm Name:** UBS FINANCIAL SERVICES INC.

**Termination Type:** Discharged

**Termination Date:** 08/03/2005

**Allegations:** DISCHARGED IN CONNECTION WITH HER CONDUCT WITH RESPECT TO A CLIENT WHO WAS HER HUSBAND'S RELATIVE.AMONG OTHER THINGS, MS. SCHEIMAN ACKNOWLEDGED THAT SHE SIGNED THE CLIENT'S NAME ON A LIFE INSURANCE POLICY LIQUIDATION REQUEST FORM, INSTRUCTED ANOTHER INDIVIDUAL TO IMPERSONATE THE CLIENT ON A TELEPHONE CALL TO THE INSURANCE COMPANY HOLDING THE CLIENT'S POLICY, COMMINGLED THE CLIENT'S FUNDS WITH HER OWN ACCOUNT OUTSIDE THE FIRM, AND PROVIDED UNTRUTHFUL INFORMATION DURING AN INTERNAL REVIEW OF THE MATTER.

**Product Type:** Other

**Other Product Types:** NON-APPLICABLE

**Broker Statement** MY HUSBAND'S AUNT ASKED ME TO ASSIST HER WITH HER FINANCES. SHE AUTHORIZED ME TO SIGN HER NAME AND TO DO WHATEVER WAS REQUIRED TO PROVIDE FOR HER UPKEEP. WE DISCUSSED SPECIFICALLY THE INSURANCE POLICY IN QUESTION AND SHE INSTRUCTED ME TO CASH IN THE POLICY AND USE THE PROCEEDS TO PAY HER BILLS. TOWARD THAT END I ASKED MY HOUSEKEEPER TO IMPERSONATE MY AUNT FOR THE LIMITED PURPOSE OF ESTABLISHING THE STATUS OF THE POLICY. WHEN CONFRONTED BY MY FIRM ABOUT THE CALL, I MISLED THE INVESTIGATOR INTO THINKING THAT MY AUNT WAS ACTUALLY ON THE LINE WHEN I CONTACTED THE INSURANCE COMPANY. I REGRETTED THE



DECEPTION AND NOTIFIED MY MANAGER VOLUNTARILY THE VERY NEXT DAY. WHILE MONEY WAS DEPOSITED INTO MY FAMILY ACCOUNT AND AN ACCOUNT HELD JOINTLY WITH MY AUNT, ALL PROCEEDS WERE USED ON HER BEHALF WITH HER COMPLETE KNOWLEDGE AND AUTHORITY.



## End of Report

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