



IAPD Report

JOHN DAVID MCATEE SR

CRD# 1139479

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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

JOHN DAVID MCATEE SR (CRD# 1139479)

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 **06/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/12/2020
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	01/26/2021

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **10** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	FRONTENAC, MO	01/01/2008 - 11/04/2020
B	A. G. EDWARDS & SONS, INC.	4	FESTUS, MO	12/15/1998 - 01/03/2008
B	HUNTLEIGH SECURITIES CORPORATION	7456	ST. LOUIS, MO	04/08/1998 - 12/16/1998

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
Customer Dispute	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 **10** jurisdiction(s) and 11 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	10/12/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/12/2026
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/12/2026
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2026
B	FINRA	General Securities Representative	Approved	10/12/2020
B	FINRA	General Securities Sales Supervisor	Approved	10/12/2020
B	Investors' Exchange LLC	General Securities Representative	Approved	06/12/2026
B	NYSE American LLC	General Securities Representative	Approved	10/12/2020
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/12/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/12/2026
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/12/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2026



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/12/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/12/2020
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/12/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	10/12/2020
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/12/2020
B	New York Stock Exchange	General Securities Representative	Approved	10/12/2020
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/12/2020
B	Alabama	Agent	Approved	11/05/2020
B	Colorado	Agent	Approved	10/12/2020
B	Florida	Agent	Approved	10/13/2020
B	Illinois	Agent	Approved	10/22/2020
B	Iowa	Agent	Approved	09/08/2025
B	Kentucky	Agent	Approved	10/12/2020
B	Missouri	Agent	Approved	10/12/2020
IA	Missouri	Investment Adviser Representative	Approved	01/30/2025
B	Pennsylvania	Agent	Approved	10/12/2020
B	South Carolina	Agent	Approved	08/14/2025
B	Texas	Agent	Approved	10/12/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	01/26/2021



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
1305 SHAPIRO DRIVE
FESTUS, MO 63028



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 6 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/21/1999
	Financial and Operations Principal Examination (S27)	Series 27	01/21/1993
	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	01/15/1993
	General Securities Principal Examination (S24)	Series 24	11/05/1987

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/18/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/2025
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/15/1983



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/01/2008 - 11/04/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FRONTENAC, MO
B	12/15/1998 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	FESTUS, MO
B	04/08/1998 - 12/16/1998	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	ST. LOUIS, MO
B	09/05/1991 - 04/14/1998	MCATEE INVESTMENT SERVICES, INC.	CRD# 27924	FESTUS, MO
B	07/21/1988 - 09/09/1991	BROKERS TRANSACTION SERVICES, INC.	CRD# 17587	DALLAS, TX
B	04/18/1985 - 07/26/1988	FIRST AFFILIATED SECURITIES, INC.	CRD# 6871	
B	06/22/1983 - 02/22/1985	EDWARD D. JONES & CO., L.P.	CRD# 250	

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
10/2020 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Festus, MO, United States
11/2016 - 10/2020	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FESTUS, MO, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FESTUS, MO, 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.

No information reported.



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
Customer Dispute	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:	11/24/1997
Docket/Case Number:	C04970028
Employing firm when activity occurred which led to the regulatory action:	MCATEE INVESTMENT SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/24/1997
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	

**Regulator Statement**

ON NOVEMBER 24, 1997, DISTRICT NO. 4 NOTIFIED RESPONDENT MCATEE INVESTMENT SERVICES, INC. AND JOHN DAVID MCATTEE THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C04970028 WAS ACCEPTED; THEREFORE, THE RESPONDENTS ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY - (NASD RULE 2110 AND MSRB RULE A-12, G-3(b) AND G-27 - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MCATEE, EXECUTED TRANSACTIONS IN MUNICIPAL SECURITIES, THEREBY CONDUCTING A MUNICIPAL SECURITIES BUSINESS, WITHOUT OBTAINING PRIOR APPROVAL FROM THE NASD IN CONTRAVENTION OF THE FIRM'S RESTRICTION LETTER WITH THE NASD; AND, FAILED TO REVISE ITS SUPERVISORY PROCEDURES WITH REGARD TO MUNICIPAL SECURITIES, AND FAILED TO PAY THE INITIAL MEMBERSHIP FEES TO THE MSRB PRIOR TO EXECUTING THE ABOVE-REFERENCED MUNICIPAL SECURITIES TRANSACTIONS).

**** \$5,000 FULLY PAID J&S AS OF 11/2/98, INVOICE NO. 98-04-212

Reporting Source: Firm
Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/24/1997

Docket/Case Number: C04970028

Employing firm when activity occurred which led to the regulatory action: MCATEE INVESTMENT SERVICES, INC.

Product Type:

Other Product Type(s):

Allegations: FROM 6 OCT 1995 TO 8 OCT 1996, MY FIRM EXECUTED 9 TRANSACTIONS IN MUNICIPAL SECURITIES, WITHOUT OBTAINING PRIOR APPROVAL FROM THE DISTRICT BUSINESS CONDUCT COMMITTEE, IN CONTRAVENTION OF MY FIRM'S RESTRICTION LETTER, AND I FAILED TO PROPERLY REGISTER A MUNICIPAL SECURITIES PRINCIPAL, AND REVISE MY FIRM'S SUPERVISORY PROCEDURES, AND FAILED TO PAY INITIAL MEMBERSHIP FEES TO THE MUNICIPAL SECURITIES RULEMAKING BOARD.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/24/1997

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, I AGREED TO CENSURE AND A JOINT AND SEVERAL FINE OF \$5000.00.



Firm Statement	Not Provided
Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/24/1997
Docket/Case Number:	C04970028
Employing firm when activity occurred which led to the regulatory action:	MCATEE INVESTMENT SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	FROM 6 OCTOBER 1995 TO 8 OCTOBER 1996, MY FIRM EXECUTED 9 TRANSACTIONS IN MUNICIPAL SECURITIES, WITHOUT OBTAINING PRIOR APPROVAL FROM THE DISTRICT BUSINESS CONDUCT COMMITTEE. IN CONTRAVENTION OF MY FIRMS RESTRICTION LETTER AND I FAILED TO PROPERLY REGISTER A MUNICIPAL SECURITIES PRINCIPAL, AND REVISE MY FIRMS SUPERVISORY PROCEDURES, AND FAILED TO PAAY INITIAL MEMBERSHIP FEES TO THE MUNICIPAL SECURITIES RULEMAKING BOARD.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/24/1997
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, I AGREED TO CENSURE AND A JOINT AND SEVERAL FINE OF \$5000.00
Broker Statement	Not Provided



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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCATEE INVESTOR SERVICES

Allegations: NAMED AS A CONTROL PERSON: ALLEGED TO HAVE FAILED TO DISCLOSE MATERIAL FACTS RESULTING IN VIOLATION OF SECURITIES LAWS. CUSTOMER ALLEGES DAMAGES OF APPROXIMATELY \$42,000.00.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$42,000.00

Customer Complaint Information

Date Complaint Received: 10/02/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/02/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-03684

Date Notice/Process Served: 10/02/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/30/1999

Monetary Compensation Amount: \$29,000.00

Individual Contribution Amount:

Broker Statement THIS LITIGATION AROSE OUT OF TRANSACTIONS WITH AN REG. REP. FORMERLY REGISTERED WITH MCATEE INVESTMENT SERVICES, A FORMER NASD BROKER/DEALER OWNED BY JOHN DAVID MCATEE.



End of Report

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