



IAPD Report

EDWARD GALBREATH BLACKMAN IV

CRD# 1246068

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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

EDWARD GALBREATH BLACKMAN IV (CRD# 1246068)

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 **03/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	05/07/2001
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/17/2016

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **26** 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	AUERBACH, POLLAK & RICHARDSON INC.	29824	STAMFORD, CT	12/19/2000 - 05/03/2001
B	AMERICAN FRONTIER FINANCIAL CORPORATION	1398	DENVER, CO	09/01/1994 - 12/19/2000
B	HIBBARD BROWN & CO., INC.	18246	NEW YORK, NY	05/24/1988 - 08/26/1994

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
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 **26** 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	04/22/2026
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/22/2026
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/22/2026
B FINRA	General Securities Representative	Approved	05/07/2001
B Investors' Exchange LLC	General Securities Representative	Approved	04/22/2026
B NYSE American LLC	General Securities Representative	Approved	05/07/2001
B NYSE Texas, Inc.	General Securities Representative	Approved	04/22/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/22/2026
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/07/2001
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	05/07/2001
B Alabama	Agent	Approved	03/21/2007
B Arizona	Agent	Approved	08/17/2015



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	05/07/2001
B Colorado	Agent	Approved	05/14/2001
IA Colorado	Investment Adviser Representative	Approved	10/17/2016
B Florida	Agent	Approved	06/25/2001
B Georgia	Agent	Approved	05/07/2001
B Idaho	Agent	Approved	06/30/2017
B Illinois	Agent	Approved	05/07/2001
B Kentucky	Agent	Approved	05/07/2001
B Maryland	Agent	Approved	10/27/2009
B Minnesota	Agent	Approved	05/07/2001
B Mississippi	Agent	Approved	08/13/2012
B Nebraska	Agent	Approved	06/27/2014
B New Jersey	Agent	Approved	07/16/2001
B New York	Agent	Approved	05/07/2001
B North Carolina	Agent	Approved	05/17/2001
B Ohio	Agent	Approved	06/16/2015
B Oklahoma	Agent	Approved	01/05/2026
B Rhode Island	Agent	Approved	09/23/2021
B South Carolina	Agent	Approved	03/30/2022



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	05/09/2001
B Texas	Agent	Approved	09/09/2003
B Virginia	Agent	Approved	05/07/2001
B Washington	Agent	Approved	05/21/2001
B Wisconsin	Agent	Approved	05/22/2015
B Wyoming	Agent	Approved	05/07/2001

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
6312 S FIDDLERS GREEN CIRCLE
SUITE 520E
GREENWOOD VILLAGE, CO 80111





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



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	06/10/1997
 General Securities Principal Examination (S24)	Series 24	04/01/1991

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/17/1984

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/14/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/21/1984

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
B	12/19/2000 - 05/03/2001	AUERBACH, POLLAK & RICHARDSON INC.	CRD# 29824	STAMFORD, CT
B	09/01/1994 - 12/19/2000	AMERICAN FRONTEER FINANCIAL CORPORATION	CRD# 1398	DENVER, CO
B	05/24/1988 - 08/26/1994	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY
B	02/02/1987 - 05/31/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	
B	05/11/1984 - 01/31/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
04/2001 - Present	STIFEL, NICOLAUS & CO., INC.	INVESTMENT EXECUTIVE	Y	DENVER, CO, 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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/06/1997
Docket/Case Number:	C04970035
Employing firm when activity occurred which led to the regulatory action:	HIBBARD BROWN & CO., INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGING VIOLATIONS OF NASD RULES 2110, 2120, 2310, AND 3010
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/18/1998
Sanctions Ordered:	Bar Censure Disgorgement/Restitution Suspension
Other Sanctions Ordered:	



Sanction Details: CENSURED, SUSPENDED FOR 60 DAYS, AND BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY, REQUIRED TO DEMONSTRATE TO NASD, THAT HE HAS MADE RESTITUTION OF \$75,000 TO PUBLIC CUSTOMERS PRIOR TO ASSOCIATING WITH ANY MEMBER FIRM FOLLOWING THE ABOVE-REFERENCED PERIOD OF SUSPENSION, AND REQUIRED TO SUBMIT TO ADDITIONAL SUPERVISION BY HIS MEMBER FIRM FOR A PERIOD OF 6 MONTHS AFTER THE SUSPENSION. AT THE END OF THE 6 MONTH PERIOD OF ADDITIONAL SUPERVISION, BLACKMAN OR HIS EMPLOYER MEMBER FIRM SHALL SUBMIT A REPORT TO NASD DESCRIBING IN REASONABLE DETAIL THE ADDITIONAL SUPERVISION OVER HIS ACTIVITIES.

Regulator Statement [TOP] COMPLAINT NO. C04970035 FILED 8/6/97 NASD AGAINST EDWARD GALBREATH BLACKMAN, IV., ET AL ALLEGING VIOLATIONS OF NASD RULES 2110, 2120, 2310, AND 3010 IN THAT RESPONDENTS IN CONNECTION WITH THE PURCHASE OF RECOMMENDED SECURITIES BY PUBLIC CUSTOMERS, BY USE OF THE INSTRUMENTALITIES OF INTERSTATE COMMENCE OR THE MAILS, INTENTIONALLY OR RECKLESSLY EMPLOYED DEVICES TO DEFRAUD CUSTOMERS BY RECOMMENDING AND URGING CUSTOMERS TO BUY THE SPECULATIVE AND/OR UNSEASONED SECURITIES BY MAKING BASELESS PRICE PREDICTIONS AND/OR PREDICTIONS OF RETURNS; ENGAGED IN IMPROPER CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPALS OF TRADE; INTENTIONALLY OR RECKLESSLY EMPLOYED DEVICES TO DEFRAUD CUSTOMERS BY MAKING UNTRUE STATEMENTS OF MATERIAL FACTS AND/OR OMITTING TO STATE MATERIAL FACTS NECESSARY TO MAKE THE STATEMENTS BY THEM, IN LIGHT OF THE CIRCUMSTANCES IN WHICH THEY WERE MADE, NOT MISLEADING; ENGAGED IN A COURSE OF BUSINESS THAT OPERATED AS A FRAUD OR DECEIT UPON THE CUSTOMERS RESPONDENTS FAILED TO ADEQUATELY AND PROPERLY SUPERVISE THEM TO ASSURE COMPLIANCE WITH APPLICABLE RULES AND REGULATIONS. ON 3/18/98, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY BLACKMAN AND IS CENSURED, SUSPENDED FOR 60 DAYS, AND BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY, REQUIRED TO DEMONSTRATE TO NASD, THAT HE HAS MADE RESTITUTION OF \$75,000 TO PUBLIC CUSTOMERS PRIOR TO ASSOCIATING WITH ANY MEMBER FIRM FOLLOWING THE ABOVE-REFERENCED PERIOD OF SUSPENSION, AND REQUIRED TO SUBMIT TO ADDITIONAL SUPERVISION BY HIS MEMBER FIRM FOR A PERIOD OF 6 MONTHS AFTER THE SUSPENSION. AT THE END OF THE 6 MONTH PERIOD OF ADDITIONAL SUPERVISION, BLACKMAN OR HIS EMPLOYER MEMBER FIRM SHALL SUBMIT A REPORT TO NASD DESCRIBING IN REASONABLE DETAIL THE ADDITIONAL SUPERVISION OVER HIS ACTIVITIES. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON 5/18/98 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS 7/2/98.

Reporting Source: Firm
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 08/06/1997
Docket/Case Number: C04970035



Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/18/1998

Sanctions Ordered: Bar
Censure
Disgorgement/Restitution
Suspension

Other Sanctions Ordered:

Sanction Details:

.....
Reporting Source: Individual

Regulatory Action Initiated By: DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT #4

Sanction(s) Sought: Bar

Date Initiated: 08/06/1997

Docket/Case Number: C04970035

Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.

Product Type: No Product

Allegations: NASD ALLEGED CERTAIN VIOLATIONS OF ITS RULES OF FAIR PRACTICE AND CERTAIN VIOLATIONS OF THE FEDERAL SECURITIES LAWS AND REGULATIONS, ALL IN CONNECTION WITH THE SALE OF SECURITIES WHILE I WAS EMPLOYED BY HIBBARD, BROWN, BETWEEN 1988 AND 1992.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 03/18/1998

Sanctions Ordered: Bar (Permanent)
Censure
Suspension

**Sanction 1 of 2**

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 60 DAYS
Start Date: 05/18/1998
End Date: 07/02/1998

Sanction 2 of 2

Sanction Type: Bar (Permanent)
Capacities Affected: GENERAL SECURITIES PRINCIPAL
Duration: PERMANENT
Start Date: 03/18/1998
End Date: 03/18/1998

Broker Statement

I AGREED TO SETTLE THIS ADMINISTRATIVE MATTER TO AVOID THE EXTREME EXPENSE OF PARTICIPATING IN A HEARING ON MATTERS THAT OCCURRED BETWEEN 1988 AND 1992, EARLY IN MY CAREER WHILE I WAS EMPLOYED BY HIBBARD, BROWN. SINCE LEAVING HIBBARD, BROWN, I HAVE HAD NO COMPLAINTS, CUSTOMER OR REGULATORY, ISSUED AGAINST ME WHATSOEVER.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: MISSOURI SECURITIES DIVISION
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 11/19/1991
Docket/Case Number: AO-92-22
Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.
Product Type:
Other Product Type(s):
Allegations: Not Provided
Current Status: Final
Resolution: Consent
Resolution Date: 11/02/1992
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: In settlement of the Order of Investigation



initiated on 11/19/91 against agents of Hibbard Brown, Blackman entered into a Consent Order in which he agrees to comply with Missouri's regulations relating to unethical practices and agrees to a suspension for a period of three (3) weeks.

Regulator Statement Not Provided

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MISSOURI, OFFICE OF SECRETARY OF STATE, CO*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/19/1991

Docket/Case Number: AO-92-22

Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.

Product Type:

Other Product Type(s):

Allegations: APPLICANT WAS VERBALLY ALLEGED TO HAVE ENGAGED IN CERTAIN UNSPECIFIED CONDUCT WHICH MAY HAVE CONSTITUTED A VIOLATION OF THE PROVISIONS OF CHAPTER 409 RSMO 1986, OR RULES OR ORDERS THEREUNDER.

Current Status: Final

Resolution: Consent

Resolution Date: 11/02/1992

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: WITHOUT AN ADMISSION NOR DENIAL OF VIOLATION OF ANY PROVISION OF CHAPTER 409, RSMO 1986, OR RULE OR ORDER THEREUNDER, APPLICANT CONSENTED TO ENTRY OF AN ORDER IMPOSING A 3 WEEK SUSPENSION.

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:	HIBBARD BROWN & CO.
Allegations:	CUSTOMER ALLEGED THAT UNSUITABLE AND MISREPRESENTED INVESTMENT RECOMMENDATIONS PRODUCED LOSSES OF APPROXIMATELY \$50,000
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$75,000.00

Customer Complaint Information

Date Complaint Received:	02/28/1994
Complaint Pending?	No
Status:	Litigation
Status Date:	03/18/1998
Settlement Amount:	

Individual Contribution Amount:

Civil Litigation Information

Court Details:	93CV2369
Date Notice/Process Served:	02/28/1994
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/18/1998
Monetary Compensation Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	CUSTOMER HAS BEEN PAID \$60,000 RESTITUTION OUT OF THE \$75,000 ORDERED IN NASD CASE #CO-4970035
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End of Report

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