



## IAPD Report

# DAVID BRIEN PERKINS

CRD# 1824251

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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

### DAVID BRIEN PERKINS (CRD# 1824251)

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 **10/07/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HATTERAS CAPITAL DISTRIBUTORS, LLC	CRD# 143365	06/20/2007
IA	HATTERAS INVESTMENT PARTNERS, LP	CRD# 170628	01/05/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	HATTERAS FUNDS, LP	170628	RALEIGH, NC	07/31/2014 - 12/31/2017
IA	HATTERAS INVESTMENT PARTNERS LLC	128703	RALEIGH, NC	02/13/2008 - 07/31/2014
B	CAPTRUST FINANCIAL ADVISORS	126291	RALEIGH, NC	09/11/2003 - 04/25/2008

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	8



### 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 53 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **HATTERAS INVESTMENT PARTNERS, LP**  
Main Address: 8510 COLONNADE CENTER DRIVE  
SUITE 150  
RALEIGH, NC 27615  
Firm ID#: 170628

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	01/05/2018

#### Branch Office Locations

**HATTERAS INVESTMENT PARTNERS, LP**  
8510 COLONNADE CENTER DRIVE  
SUITE 150  
RALEIGH, NC 27615

#### Employment 2 of 2

Firm Name: **HATTERAS CAPITAL DISTRIBUTORS, LLC**  
Main Address: 8510 COLONNADE CENTER DRIVE  
SUITE 150  
RALEIGH, NC 27615  
Firm ID#: 143365

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/20/2007
B FINRA	General Securities Representative	Approved	06/20/2007
B Alabama	Agent	Approved	11/08/2017
B Alaska	Agent	Approved	11/08/2017
B Arizona	Agent	Approved	11/08/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Arkansas	Agent	Approved	11/08/2017
<b>B</b> California	Agent	Approved	11/08/2017
<b>B</b> Colorado	Agent	Approved	11/08/2017
<b>B</b> Connecticut	Agent	Approved	11/08/2017
<b>B</b> Delaware	Agent	Approved	11/08/2017
<b>B</b> District of Columbia	Agent	Approved	11/08/2017
<b>B</b> Florida	Agent	Approved	11/08/2017
<b>B</b> Georgia	Agent	Approved	11/08/2017
<b>B</b> Hawaii	Agent	Approved	11/08/2017
<b>B</b> Idaho	Agent	Approved	11/08/2017
<b>B</b> Illinois	Agent	Approved	11/08/2017
<b>B</b> Indiana	Agent	Approved	04/19/2016
<b>B</b> Iowa	Agent	Approved	11/08/2017
<b>B</b> Kansas	Agent	Approved	11/08/2017
<b>B</b> Kentucky	Agent	Approved	11/08/2017
<b>B</b> Louisiana	Agent	Approved	11/08/2017
<b>B</b> Maine	Agent	Approved	11/08/2017
<b>B</b> Maryland	Agent	Approved	11/08/2017
<b>B</b> Massachusetts	Agent	Approved	11/08/2017



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	11/08/2017
<b>B</b> Minnesota	Agent	Approved	11/08/2017
<b>B</b> Mississippi	Agent	Approved	11/08/2017
<b>B</b> Missouri	Agent	Approved	11/08/2017
<b>B</b> Montana	Agent	Approved	11/08/2017
<b>B</b> Nebraska	Agent	Approved	11/08/2017
<b>B</b> Nevada	Agent	Approved	11/08/2017
<b>B</b> New Hampshire	Agent	Approved	11/08/2017
<b>B</b> New Jersey	Agent	Approved	11/08/2017
<b>B</b> New Mexico	Agent	Approved	11/08/2017
<b>B</b> New York	Agent	Approved	11/08/2017
<b>B</b> North Carolina	Agent	Approved	11/24/2008
<b>B</b> North Dakota	Agent	Approved	11/08/2017
<b>B</b> Ohio	Agent	Approved	11/08/2017
<b>B</b> Oklahoma	Agent	Approved	11/08/2017
<b>B</b> Oregon	Agent	Approved	11/08/2017
<b>B</b> Pennsylvania	Agent	Approved	11/08/2017
<b>B</b> Puerto Rico	Agent	Approved	11/08/2017
<b>B</b> Rhode Island	Agent	Approved	11/08/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	11/08/2017
<b>B</b> South Dakota	Agent	Approved	01/05/2017
<b>B</b> Tennessee	Agent	Approved	11/08/2017
<b>B</b> Texas	Agent	Approved	11/08/2017
<b>B</b> Utah	Agent	Approved	11/08/2017
<b>B</b> Vermont	Agent	Approved	11/08/2017
<b>B</b> Virgin Islands	Agent	Approved	11/08/2017
<b>B</b> Virginia	Agent	Approved	11/08/2017
<b>B</b> Washington	Agent	Approved	11/08/2017
<b>B</b> West Virginia	Agent	Approved	11/08/2017
<b>B</b> Wisconsin	Agent	Approved	11/08/2017
<b>B</b> Wyoming	Agent	Approved	11/08/2017

### Branch Office Locations

8510 COLONNADE CENTER DRIVE  
SUITE 150  
RALEIGH, NC 27615




## 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, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/03/2002

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/21/1988

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/28/1991
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/13/1988

### 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	07/31/2014 - 12/31/2017	HATTERAS FUNDS, LP	CRD# 170628	RALEIGH, NC
IA	02/13/2008 - 07/31/2014	HATTERAS INVESTMENT PARTNERS LLC	CRD# 128703	RALEIGH, NC
B	09/11/2003 - 04/25/2008	CAPTRUST FINANCIAL ADVISORS	CRD# 126291	RALEIGH, NC
IA	10/21/2003 - 02/26/2007	CAPTRUST FINANCIAL ADVISORS	CRD# 126291	RALEIGH, NC
B	06/15/2002 - 10/17/2003	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	ST. LOUIS, MO
IA	06/15/2002 - 10/17/2003	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	RALEIGH, NC
IA	10/01/1997 - 06/20/2002	CAPTRUST FINANCIAL ADVISORS	CRD# 41727	RALEIGH, NC
B	10/01/1997 - 06/15/2002	CAPTRUST FINANCIAL ADVISORS, LLC	CRD# 41727	CHARLOTTE, NC
B	12/20/1988 - 10/06/1997	INTERSTATE/JOHNSON LANE CORPORATION	CRD# 431	CHARLOTTE, NC
B	06/10/1988 - 12/20/1988	F.N. WOLF & CO., INC.	CRD# 13051	

### 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
02/2007 - Present	HATTERAS CAPITAL DISTRIBUTORS, LLC	MANAGING MEMBER/CEO	Y	RALEIGH, NC, United States
09/2003 - Present	HATTERAS INVESTMENT PARTNERS, LLC	MANAGING MEMBER/PRESIDENT/CEO	Y	RALEIGH, NC, United States



## Registration & Employment History



### 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.

HATTERAS FUNDS, LLC (REGISTERED INVESTMENT ADVISER) - CEO; HATTERAS CAPITAL DISTRIBUTORS IS A WHOLLY OWNED SUBSIDIARY OF HATTERAS FUNDS, LLC AND LOCATED AT THE SAME ADDRESS. HOURS PER MONTH ARE ALLOCATED TO EACH ENTITY AS BUSINESS DEMANDS WARRANT. MEMBER OF FOSTER FAMILY HOLDINGS, LLC. - LOUISBURG, NC. A GRAPE HARVESTING BUSINESS THAT IS NOT INVESTMENT RELATED. 5 HOURS/MONTH.



## 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	8

### 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 8

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	HATTERAS INVESTMENT PARTNERS
<b>Allegations:</b>	Causes of action: Breach of Fiduciary Duty-Loyalty, Breach of Fiduciary Duty-Care, Breach of Contract-Failure to Manage the Fund in Good Faith, Breach of Contract-Failure to Provide Access to Books and Record, Fraud
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	no damage amount alleged
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	In the district court of Harris County, Texas
<b>Docket/Case #:</b>	202427365
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	04/29/2024



### Customer Complaint Information

Date Complaint Received: 05/02/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

#### Disclosure 2 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HATTERAS INVESTMENT PARTNERS

Allegations: Nature of claim(s) asserted: This is an action seeking to enforce the rights of equity holders in connection with alleged breaches of fiduciary duty, breaches of contract, unjust enrichment, fraud, and aiding and abetting breach of fiduciary duty, and related claims against directors and officers and related parties.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): no damage amount alleged

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: In the Court of Chancery for the state of Delaware

Docket/Case #: 2024-1264-JTL

Filing date of arbitration/CFTC reparation or civil litigation: 12/06/2024

### Customer Complaint Information

Date Complaint Received: 12/12/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

#### Disclosure 3 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HATTERAS INVESTMENT PARTNERS



**Allegations:** Derivative action for breach of fiduciary duties

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** no damage amount alleged

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** State of North Carolina, Wake County

**Docket/Case #:** 24CV038870-910

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/04/2024

**Customer Complaint Information**

**Date Complaint Received:** 12/16/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 4 of 8**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** HATTERAS INVESTMENT PARTNERS

**Allegations:** Nature of claim(s) asserted: Plaintiff asserts derivative claims to redress injuries suffered by Evergreen Fund as a direct result of breaches of fiduciary duties by Defendants; Derivative Claim on behalf of Evergreen Fund for unjust enrichment

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** no damage amount alleged

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** In the Court of Chancery for the state of Delaware



**Docket/Case #:** 2-25-0538  
**Filing date of arbitration/CFTC reparation or civil litigation:** 05/14/2025

### Customer Complaint Information

**Date Complaint Received:** 05/16/2025  
**Complaint Pending?** No  
**Status:** Withdrawn  
**Status Date:** 08/22/2025

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 5 of 8

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** HATTERAS INVESTMENT PARTNERS

**Allegations:** Nature of claim(s) asserted: This is a derivative complaint asserting breaches of fiduciary duty, unjust enrichment, and aiding and abetting breach of fiduciary duty, and related claims.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** no damage amount alleged

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** In the Court of Chancery for the state of Delaware

**Docket/Case #:** 2025-0548  
**Filing date of arbitration/CFTC reparation or civil litigation:** 05/16/2025

### Customer Complaint Information

**Date Complaint Received:** 05/20/2025  
**Complaint Pending?** Yes  
**Settlement Amount:**  
**Individual Contribution Amount:**

**Disclosure 6 of 8**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** HATTERAS INVESTMENT PARTNERS

**Allegations:** Plaintiffs bring this Verified Amended Class Action Complaint against Defendants for tortious interference with contractual and unitholder voting rights stemming from the Hatteras Plan of Liquidation.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** no damage amount alleged

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** In the Court of Chancery for the state of Delaware

**Docket/Case #:** 1:25-cv-00672-CFC

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/17/2024

**Customer Complaint Information**

**Date Complaint Received:** 05/20/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 7 of 8**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** HATTERAS INVESTMENT PARTNERS

**Allegations:** Derivative action for breach of fiduciary duties

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** no damage amount is alleged

**Is this an oral complaint?** No



**Is this a written complaint?** No  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** State of North Carolina, Wake County  
**Docket/Case #:** 24CV027958-910  
**Filing date of arbitration/CFTC reparation or civil litigation:** 09/04/2024

**Customer Complaint Information**

**Date Complaint Received:** 09/04/2024  
**Complaint Pending?** Yes  
**Settlement Amount:**  
**Individual Contribution Amount:**

**Disclosure 8 of 8**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CAP TRUST FINANCIAL ADVISORS

**Allegations:** NORTH CAROLINA RESIDENTS ALLEGE THAT PROCEEDS FROM SALE OF RENTAL PROPERTY WERE PLACE INTO UNSUITABLE INVESTMENT VEHICLES, NAMELY MANULIFE VARIABLE ANNUITY PRODUCTS IN 2001. SEEK RECOVERY OF SURRENDER FEES TOTALLY \$46,892.

**Product Type:** Annuity(ies) - Variable  
**Alleged Damages:** \$46,892.00

**Customer Complaint Information**

**Date Complaint Received:** 02/19/2002  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 03/12/2002  
**Settlement Amount:**  
**Individual Contribution Amount:**



## End of Report

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