



## IAPD Report

# JOHN MARINUS VAN DONGE

CRD# 1840127

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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

### JOHN MARINUS VAN DONGE (CRD# 1840127)

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 **01/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	11/20/2014
<b>IA</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	11/20/2014

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **19** 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>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SANTA BARBARA, CA	08/03/1998 - 11/21/2014
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SANTA BARBARA, CA	08/26/1997 - 11/21/2014
<b>B</b>	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	04/04/1990 - 01/16/1991

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



## 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 **19** 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>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/20/2014
<b>B</b> FINRA	General Securities Representative	Approved	11/20/2014
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	11/20/2014
<b>B</b> NYSE American LLC	General Securities Representative	Approved	11/20/2014
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	11/20/2014
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/20/2014
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	11/20/2014
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/20/2014
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	11/20/2014
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Arizona	Agent	Approved	11/01/2024
<b>B</b> California	Agent	Approved	11/20/2014



### Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/21/2014
B District of Columbia	Agent	Approved	11/20/2014
B Florida	Agent	Approved	11/20/2014
B Idaho	Agent	Approved	11/20/2014
IA Idaho	Investment Adviser Representative	Approved	08/15/2022
B Iowa	Agent	Approved	05/12/2025
B Kansas	Agent	Approved	09/27/2021
B Louisiana	Agent	Approved	10/27/2023
B Missouri	Agent	Approved	11/20/2014
B New York	Agent	Approved	11/20/2014
IA New York	Investment Adviser Representative	Approved	11/13/2021
B North Carolina	Agent	Approved	11/20/2014
B Oregon	Agent	Approved	11/20/2014
B South Dakota	Agent	Approved	03/07/2022
B Texas	Agent	Approved	11/20/2014
IA Texas	Investment Adviser Representative	Restricted Approval	11/20/2014
B Utah	Agent	Approved	12/14/2020
B Vermont	Agent	Approved	12/02/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virginia	Agent	Approved	11/20/2014
<b>B</b> Washington	Agent	Approved	07/17/2025
<b>B</b> Wisconsin	Agent	Approved	11/20/2014

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
206 EAST ANAPAMU STREET  
SANTA BARBARA, CA 93101

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
111 N. MAIN, 3RD FLOOR, SUITE B  
POB 5389  
KETCHUM, ID 83340



## 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, 3 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	02/07/2012
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/24/2012

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/08/1996
National Commodity Futures Examination (S3)	Series 3	06/16/1988

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1996
Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/1991

### 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	08/03/1998 - 11/21/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SANTA BARBARA, CA
B	08/26/1997 - 11/21/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SANTA BARBARA, CA
B	04/04/1990 - 01/16/1991	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	12/20/1988 - 04/25/1990	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

### 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
11/2014 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	SANTA BARBARA, CA, 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.

- SOLE OWNER OF REAL ESTATE; FAMILY TRUSTS; 915 ROBLE LANES SANTA BARBARA CA 93103; RENTAL PROPERTY; AFFILIATION STARTED 10/29/1998; 2 HOURS PER DAY; NOT DURING SECURITIES TRADING HOURS.
- KBV Capital-LLC; 820 S Main St - Suite 4362 Hailey, ID; Management Company for real estate and family investments; LLC Manager; 01/29/2020; 2 Hours per Month; Not During Securities Trading Hours; Investment-Related.
- 805BCapital; 820 South Main Street - 4362, Hailey, ID 83333; Family Holding LLC for investments and rental properties; Manager; 09/18/2020; 10 Hours per Month; Not During Securities Trading Hours; Investment-Related.
- Alliloop; 1111 State Street Santa Barbara CA 93101; Connecting service sector employees to employers; Chairman of the Board; Business insight, assist in growth of company- guidance, board leadership; 02/17/2022; 20hrs/year; Not During Securities Trading Hours; Not Investment Related.
- KKB Capital, LP; 820 S Main St #4362, Hailey, ID 83333; Family Limited Partnership for estate planning; Registered Agent; None - grantor; 09/20/2022; 1 Hour per Month; Not During Securities Trading Hours; Investment Related.
- 805B Capital, LLC; 820 South Main Street #4362 Hailey ID 83333; family holding co/ real estate; Manager; Management; 4/2/23; 1 hours per week; not during securities trading hours; inv related.
- Santa Barbara County Search & Rescue; 66 S San Anotonio Road, Santa Barbara, CA 93110; To provide emergency search and rescue for residents and visitors of Santa Barbara County; President of the Board/Advisor; Run the board of Directors for the non-profit - help in leadership and management of the entity; 07/07/2023; 1 Hour per Week; Not during securities trading hours; Not Investment-Related.
- Santa Barbara Police Foundation; P.O. Box 91929 Santa Barbara, CA 93190; 501c3 for the benefit of the men and women of the Santa Barbara Police Department; President; Preside over the Board of Directors of the Foundation; 04/08/2025; 3 hrs/month; Not 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
Customer Dispute	3

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Merrill Lynch, Pierce, Fenner & Smith Incorporated
<b>Allegations:</b>	Client alleges misrepresentation and unsuitable investment recommendations from May 2014 to June 2015.
<b>Product Type:</b>	Other: Structured products
<b>Alleged Damages:</b>	\$419,844.92
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/28/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	11/14/2016
<b>Settlement Amount:</b>	\$60,618.35
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	Matter settled for business reasons to avoid arbitration.



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Allegations:** Client alleges misrepresentation and unsuitable investment recommendations from May 2014 to June 2015.

**Product Type:** Other: Structured products

**Alleged Damages:** \$419,844.92

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 09/28/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/14/2016

**Settlement Amount:** \$60,618.35

**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

**Allegations:** CLIENT ALLEGES MISREPRESENTATIONS AND OMISSIONS CONCERNING THE LIQUIDITY OF AUCTION RATE SECURITIES. DAMAGES UNSPECIFIED.

**Product Type:** Other

**Other Product Type(s):** AUCTION RATE SECURITIES

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 04/02/2008

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 12/22/2008

**Settlement Amount:**

**Individual Contribution Amount:**



**Broker Statement** THIS COMPLAINT AROSE OUT OF THE UNPRECEDENTED ILLIQUIDITY IN THE AUCTION RATE SECURITIES MARKET. PRIOR TO THE WIDESPREAD AUCTION FAILURES, AUCTION MARKET SECURITIES WERE SOLD THROUGHOUT THE FINANCIAL SERVICES INDUSTRY AS HIGHLY LIQUID INSTRUMENTS AND WERE APPROPRIATELY REGARDED BY THE INDUSTRY AS HIGHLY LIQUID INVESTMENTS.

### Disclosure 3 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER AND SMITH INC.

**Allegations:** CUSTOMER ALLEGES FA MADE UNSUITABLE INVESTMENTS, FAILED TO FOLLOW INSTRUCTIONS, MADE UNAUTHORIZED TRADES AND MISREPRESENTED MATERIAL FACTS.

**Product Type:** Other

**Alleged Damages:** \$3,084,945.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?**

**Status:** Arbitration/Reparation

**Status Date:** 08/01/2005

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 05-03560

**Date Notice/Process Served:** 08/01/2005

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 05/24/2006

**Monetary Compensation Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Court Details:** SANTA CRUZ COUNTY SUPERIOR COURT, CASE NO. CV 140967

**Date Notice/Process Served:** 05/29/2001

**Litigation Pending?** No

**Disposition:** No Action

**Disposition Date:** 10/12/2001



**Broker Statement**

THIS MATTER WAS SETTLED FOR BUSINESS REASONS AND TO AVOID THE COST AND UNCERTAINTY OF LITIGATION.



## End of Report

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