



IAPD Report

SCOTT MIDDLETON DEBANDT

CRD# 1892267

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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

SCOTT MIDDLETON DEBANDT (CRD# 1892267)

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 **01/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	05/08/2009
IA	HUNTLEIGH ADVISORS, INC.	CRD# 113412	12/16/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	EDWARD JONES	250	ST LOUIS, MO	02/11/1999 - 05/15/2009
B	EDWARD JONES	250	ST LOUIS, MO	05/26/1993 - 05/15/2009

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
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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**
Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm ID#: 113412

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	06/16/2025
IA Missouri	Investment Adviser Representative	Approved	12/16/2016
IA Pennsylvania	Investment Adviser Representative	Approved	03/27/2024

Branch Office Locations

HUNTLEIGH ADVISORS, INC.
7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**
Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm ID#: 7456

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/08/2009
B Arizona	Agent	Approved	11/15/2023
B Arkansas	Agent	Approved	01/23/2019



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	05/08/2009
B Colorado	Agent	Approved	11/19/2009
B Delaware	Agent	Approved	08/03/2012
B Florida	Agent	Approved	03/16/2010
B Illinois	Agent	Approved	05/08/2009
B Indiana	Agent	Approved	05/27/2009
B Iowa	Agent	Approved	06/27/2011
B Kansas	Agent	Approved	07/15/2009
B Kentucky	Agent	Approved	04/07/2016
B Louisiana	Agent	Approved	07/23/2018
B Michigan	Agent	Approved	11/22/2024
B Mississippi	Agent	Approved	01/22/2019
B Missouri	Agent	Approved	05/26/2009
B Montana	Agent	Approved	05/09/2019
B Nebraska	Agent	Approved	03/20/2018
B New York	Agent	Approved	05/08/2019
B Pennsylvania	Agent	Approved	07/27/2023
B Texas	Agent	Approved	06/16/2009
B Washington	Agent	Approved	01/11/2011



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/13/1993
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/17/2016
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/21/1993
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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	02/11/1999 - 05/15/2009	EDWARD JONES	CRD# 250	ST LOUIS, MO
B	05/26/1993 - 05/15/2009	EDWARD JONES	CRD# 250	ST LOUIS, MO

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
05/2009 - Present	HUNTLEIGH SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	ST. LOUIS, 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
Customer Dispute	3
Termination	1

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

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 6/08-10/08; CLIENTS STATE THEY MET WITH THE FA IN MAY 2008 AT WHICH TIME THEY ADVISED THE FA THAT THEY DID NOT WANT THEIR ACCOUNT VALUE TO FALL BELOW \$500,000.00 AS THEY WERE INTENDING TO PURCHASE A NEW HOME. CLIENTS STATE IN JULY THEY ADVISED THE FA THAT THEY NEEDED AN ADDITIONAL \$40,000.00 FOR THE HOME (AT WHICH TIME THE ACCOUNT VALUE WAS \$450,000.00) AND ADVISED THE FA THAT THE ACCOUNT VALUE COULD NOT GO ANY LOWER. CLIENTS STATE THEY REALIZED THE MARKET WAS DECLINING - IN AUGUST 2008 - AND CONTACTED THE FA AT WHICH TIME THEY WERE ASSURED THEY DID NOT NEED TO WORRY. CLIENTS STATE THEY CONTACTED THE FA OVER 10/1, 10/2, AND 10/3 MULTIPLES TIMES ADVISING HIM THAT THEY NEEDED TO GET OUT OF THE MARKET. CLIENTS STATE THE INVESTMENTS WERE EVENTUALLY SOLD ON 10/6/08 AND NOT AT THE 50% DISCOUNT THE FA PROMISED. CLIENTS ALSO STATE THERE WAS A DELAY IN SELLING ASSETS HELD IN AN IRA ACCOUNT. CLIENTS ARE REQUESTING THEY RECEIVE A TOTAL OF \$450,000.00 IN PROCEEDS AS COMPENSATION IN THIS MATTER.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/28/2008



Complaint Pending? No

Status: Closed/No Action

Status Date: 01/23/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ALTHOUGH THE CLIENTS HAVE CLAIMED INSTRUCTIONS WERE PROVIDED TO LIQUIDATE THE INVESTMENTS "BETWEEN MAY AND JUNE", THEY HAVE NOT PROVIDED A SPECIFIC DATE UPON WHICH THE INSTRUCTIONS WERE PURPORTEDLY PROVIDED TO THE FA. IN ADDITION, THE CLIENTS RECEIVED ACCOUNT STATEMENTS FOR JUNE, JULY, AUGUST AND SEPTEMBER. ACCOUNT STATEMENTS PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AND ALSO REFLECT ALL ACCOUNT ACTIVITY. FURTHERMORE, ACCORDING TO THE FA, HE SPOKE WITH BOTH OF THE CLIENTS MANY TIMES DURING AUGUST AND SEPTEMBER REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AND THEIR CONCERNS RELATED TO MARKET FLUCTUATION. THE FA HAS STATED HE DID NOT RECEIVE FIRM INSTRUCTIONS FROM THE CLIENTS TO LIQUIDATE THE MUTUAL FUNDS HELD IN THE ACCOUNTS UNTIL OCTOBER 7, 2008. BASED ON OUR REVIEW, IT IS OUR OPINION FIRM INSTRUCTIONS WERE NOT PROVIDE TO LIQUIDATE THE MUTUAL FUNDS HELD IN THE ACCOUNT UNTIL OCTOBER 7, 2008. IN REVIEWING THE IRA ACCOUNT, IT DOES APPEAR THE ORDERS WERE PLACED ON OCTOBER 8, 2008 INSTEAD OF OCTOBER 7, 2008. THEREFORE, WE HAVE EXTENDED AN OFFER TO THE CLIENT TO CORRECT THE TRADES IN THE IRA ACCOUNT. CLIENT HAS THIRTY DAYS TO RESPOND TO OFFER. CLIENT DID NOT RESPOND TO OUR OFFER. COMPLAINT CLOSED.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: BEGINNING IN 1997, THE CLIENT HAS INVESTED IN VARIOUS INVESTMENTS RANGING FROM CDS AND DEPOSIT NOTES TO CORPORATE DEBENTURES AND MUTUAL FUNDS. THE CLIENT IS UNHAPPY WITH THE OVERALL PERFORMANCE OF THE INVESTMENTS AND STATES THE POOR PERFORMANCE OF THE ACCOUNT HAS RESULTED IN LOSSES OF APPROXIMATELY \$34,000.

Product Type: No Product

Alleged Damages: \$34,000.00

Customer Complaint Information

Date Complaint Received: 10/17/2000

Complaint Pending? No

Status: Denied

Status Date: 11/08/2000

Settlement Amount:

**Individual Contribution Amount:****Broker Statement**

IT APPEARS WE HAVE ADDRESSED THE MATTER OF MARKET FLUCTUATION THROUGH PREVIOUS CORRESPONDENCE. IT WAS FURTHER EXPLAINED THAT THE CLIENT WOULD CONTINUE TO RECEIVE INTEREST ON THE FULL FACE VALUE OF THE SECURITY UNTIL IT IS SOLD OR CALLED AND THAT THE CURRENT MARKET VALUE IS ONLY A FACTOR IF THEY DECIDE TO SELL. DEBANDT STATES HE EXPLAINED THE FEATURES OF ALL INVESTMENTS PRIOR TO PURCHASE. CLAIM DENIED.

Disclosure 3 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT IS INVESTED IN VARIOUS DEPOSIT NOTES AND MUNI BONDS. SHE STATES THEY ARE UPSET THAT THE PRINCIPAL AMOUNT OF THEIR INVESTMENTS HAS DECREASED IN VALUE. THE CLIENT STATES SHE THOUGHT THAT WHAT SHE INVESTED IN PRINCIPAL WOULD STAY AT THAT AMOUNT.

Product Type:

Debt - Municipal

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

12/02/1999

Complaint Pending?

No

Status:

Denied

Status Date:

12/14/1999

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE IR STATES HE DISCUSSED ON NUMEROUS OCASSIONS THE RELATIONSHIP BETWEEN INTEREST RATES AND BOND VALUES. THE IR STATES HE ALSO EXPLAINED HOW THIS FLUCTUATION WOULD NOT AFFECT THE INTEREST PAYMENTS OR THE AMOUNT RECEIVED AT MATURITY. CLAIM IS DENIED.



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:	Individual
Firm Name:	EDWARD JONES
Termination Type:	Permitted to Resign
Termination Date:	04/21/2009
Allegations:	FAILURE TO FOLLOW CLIENT'S INSTRUCTIONS TO SELL A SECURITY AND ACCUSED OF ATTEMPTING TO SETTLE THE MATTER WITH THE CLIENT DIRECTLY.
Product Type:	Mutual Fund(s)
Other Product Types:	
Broker Statement	RR CLAIMS THE ACCUSATIONS OF ATTEMPTING TO PERSONALLY SETTLE THE MATTER WITH THE CLIENT ARE UNTRUE AND UNFOUNDED. THE FIRM RE-BILLED THE CLIENT'S TRANSACTION AND CHARGED THE LOSS TO THE RR (APPROXIMATELY \$1,100).



End of Report

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