



IAPD Report

PETER JAMES NAZOS

CRD# 2093302

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8



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

PETER JAMES NAZOS (CRD# 2093302)

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 **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	05/23/1997
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	02/13/1998

QUALIFICATIONS

This representative is currently registered in **5** SRO(s) and **42** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	10/24/1990 - 05/23/1997

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
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 **42** jurisdiction(s) and 5 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 FINRA	General Securities Representative	Approved	05/28/1997
B FINRA	General Securities Sales Supervisor	Approved	12/28/2016
B NYSE American LLC	General Securities Representative	Approved	01/25/2002
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/23/1997
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	12/28/2016
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/28/2016
B New York Stock Exchange	General Securities Representative	Approved	05/29/1997
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	10/29/1998
B Arizona	Agent	Approved	07/15/1997
B Arkansas	Agent	Approved	06/03/1997



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	05/23/1997
B Colorado	Agent	Approved	04/03/2006
B Connecticut	Agent	Approved	04/02/2019
B Delaware	Agent	Approved	01/23/2020
B Florida	Agent	Approved	09/10/1997
B Georgia	Agent	Approved	06/05/1997
B Idaho	Agent	Approved	10/30/2009
B Illinois	Agent	Approved	06/02/1997
IA Illinois	Investment Adviser Representative	Approved	02/13/1998
B Indiana	Agent	Restricted Approval	03/17/2000
B Iowa	Agent	Approved	03/11/2015
B Kansas	Agent	Approved	05/20/2010
B Kentucky	Agent	Approved	06/13/2008
B Louisiana	Agent	Approved	04/08/2016
B Maryland	Agent	Approved	06/02/1997
B Massachusetts	Agent	Approved	04/29/2003
B Michigan	Agent	Approved	06/05/1997
B Minnesota	Agent	Approved	05/21/2010



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	11/22/2006
B	Missouri	Agent	Approved	03/10/2006
B	Nebraska	Agent	Approved	05/25/2010
B	Nevada	Agent	Approved	09/24/2014
B	New Jersey	Agent	Approved	07/30/2008
B	New Mexico	Agent	Approved	07/10/1997
B	New York	Agent	Approved	07/11/2006
B	North Carolina	Agent	Approved	10/03/2006
B	Ohio	Agent	Approved	04/27/2015
B	Oklahoma	Agent	Approved	11/12/1999
B	Oregon	Agent	Approved	08/24/2001
B	Pennsylvania	Agent	Approved	11/04/2009
B	South Carolina	Agent	Approved	07/14/2020
B	South Dakota	Agent	Approved	05/18/2010
B	Tennessee	Agent	Approved	02/05/2016
B	Texas	Agent	Approved	05/30/1997
IA	Texas	Investment Adviser Representative	Restricted Approval	01/13/2020
B	Utah	Agent	Approved	01/03/2019



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	10/30/2009
B Washington	Agent	Approved	10/10/2006
B West Virginia	Agent	Approved	02/04/2000
B Wisconsin	Agent	Approved	06/04/1997
B Wyoming	Agent	Approved	08/28/2007

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
70 WEST MADISON STREET
SUITE 2500
CHICAGO, IL 60602



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
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/27/2016
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/03/2016

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/22/1990

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/05/1995
Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/1990

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	10/24/1990 - 05/23/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, 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
05/1997 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	INVESTMENT EXECUTIVE	Y	CHICAGO, IL, 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.

1. Peter J. Nazos; 400 N. LaSalle, Chicago IL; Condominium Owner; Investment Property; 01/03/2018; 6 hours per year; not during securities trading hours; 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
Regulatory Event	1
Customer Dispute	1
Termination	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:	NYSE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/27/1997
Docket/Case Number:	97-154
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	**10/27/97** EVENT: STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO A FINDING THAT HE CAUSED HIS MEMBER FIRM EMPLOYER TO VIOLATE EXCHANGE RULE 440 AND SEC RULES 17a-3 AND 17a-8 BY FAILING TO INFORM THE FIRM HE HAD RECEIVED CASH EXCEEDING \$10,000 FROM A CUSTOMER, THEREBY PREVENTING THE FIRM FROM RECORDING THE RECEIPT OF THE CASH ON ITS BOOKS AND RECORDS AND FILING THE REQUIRED CURRENCY TRANSACTION REPORT.
Current Status:	Final



Resolution: Stipulation and Consent

Resolution Date: 12/29/1997

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: **12/3/97** EVENT: DECISION 97-154 ISSUED BY THE NYSE HEARING PANEL. DECISION: NAZOS CAUSED VIOLATIONS OF RULE 440 AND SEC RULES 17a-3 AND 17a-8 BY FAILING TO INFORM HIS EMPLOYER HE HAD RECEIVED CASH IN EXCESS OF \$10,000 FROM A CUSTOMER. NAZOS CONSENTED TO A CENSURE, THREE WEEK SUSPENSION, \$7,500 FINE AND SPECIAL SUPERVISION.

Regulator Statement **1/9/98** THE DECISION IS NOW FINAL AND EFFECTIVE DECEMBER 29, 1997. CONTACT: PEGGY L. GERMINO (212) 656-8450.

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Reporting Source: Individual

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/27/1997

Docket/Case Number: 97-154

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Product Type:

Other Product Type(s):

Allegations: CAUSED MEMBER FIRM, MERRILL LYNCH, EMPLOYER TO VIOLATE EXCHANGE RULE 440 & SEC RULES 17A-3 AND 17A-8 BY FAILING TO INFORM THE FIRM HE HAD RECEIVED CASH EXCEEDING \$10,000 FROM A CUSTOMER, THEREBY PREVENTING THE FIRM FROM RECORDING THE RECEIPT OF CASH ON ITS BOOKS & RECORDS AND FILING THE REQUIRED CURRENCY TRANSACTION REPORT.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 12/29/1997

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: PETER NAZOS CONSENTED TO A CENSURE, THREE WEEK SUSPENSION, \$7,500 FINE AND SPECIAL SUPERVISION.



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:	STIFEL NICOLAUS & CO., INC.
Allegations:	BOUGHT PRIME RETAIL REIT, DECLINED IN VALUE. WANTS LOSS LESS INCOME = \$21,690.00
Product Type:	Other
Other Product Type(s):	REIT
Alleged Damages:	\$21,690.00

Customer Complaint Information

Date Complaint Received:	08/22/2002
Complaint Pending?	No
Status:	Denied
Status Date:	09/30/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	DENIED 9/30/02.



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:	MERRILL LYNCH & CO.
Termination Type:	Permitted to Resign
Termination Date:	04/25/1997
Allegations:	N/A IN VIOLATION OF FIRM POLICY, CASH WAS RECEIVED BYU MR NAZO'S FORM A CLIENT. TOW CASHIER CHECKS WERE PURCHASED TO BE DEPOSITED IN THE CLIENTS ACCOUNT.
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION CLIENT DEPOSITED \$15,000 IN CASH IN WHICH TWO \$7,500 CASHIER CHECKS WERE OBTAINED IN THE CLIENTS NAME.



End of Report

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