



IAPD Report

DAVID ALLEN ZACHMEYER

CRD# 2114928

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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

DAVID ALLEN ZACHMEYER (CRD# 2114928)

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 **12/06/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	03/01/2010
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	03/10/2010

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **36** 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	WELLS FARGO ADVISORS, LLC	19616	DENTON, TX	01/01/2008 - 03/02/2010
IA	WELLS FARGO ADVISORS, LLC	19616	DENTON, TX	01/01/2008 - 03/02/2010
B	A. G. EDWARDS & SONS, INC.	4	DENTON, TX	01/24/2001 - 01/03/2008

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
Regulatory Event	2



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 **36** 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 Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/25/2010
B FINRA	General Securities Representative	Approved	03/10/2010
B NYSE American LLC	General Securities Representative	Approved	03/10/2010
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/10/2010
B Nasdaq Stock Market	General Securities Representative	Approved	03/10/2010
B New York Stock Exchange	General Securities Representative	Approved	03/10/2010
B Alabama	Agent	Approved	10/05/2020
B Arizona	Agent	Approved	03/10/2010
B Arkansas	Agent	Approved	02/07/2018
B California	Agent	Approved	03/10/2010
B Colorado	Agent	Approved	03/10/2010
B Delaware	Agent	Approved	11/23/2010
B Florida	Agent	Approved	03/10/2010



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	06/23/2015
B Illinois	Agent	Approved	03/10/2010
B Indiana	Agent	Approved	03/10/2010
B Iowa	Agent	Approved	03/10/2010
B Kansas	Agent	Approved	05/13/2014
B Louisiana	Agent	Approved	09/16/2020
B Maryland	Agent	Approved	09/10/2020
B Minnesota	Agent	Approved	04/22/2015
B Mississippi	Agent	Approved	06/20/2024
B Missouri	Agent	Approved	03/15/2010
B Nebraska	Agent	Approved	03/10/2010
B Nevada	Agent	Approved	07/22/2022
B New Hampshire	Agent	Approved	09/16/2020
B New Jersey	Agent	Approved	09/10/2020
B New Mexico	Agent	Approved	06/02/2015
B New York	Agent	Approved	03/10/2010
B North Carolina	Agent	Approved	06/02/2015
B Ohio	Agent	Approved	06/01/2015
B Oklahoma	Agent	Approved	03/10/2010



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	12/11/2023
B Pennsylvania	Agent	Approved	01/16/2015
B South Carolina	Agent	Approved	03/10/2010
B Tennessee	Agent	Approved	02/24/2020
IA Texas	Investment Adviser Representative	Approved	03/01/2010
B Texas	Agent	Approved	03/10/2010
B Utah	Agent	Approved	06/02/2015
B Vermont	Agent	Approved	11/19/2019
B Virginia	Agent	Approved	06/01/2015
B Washington	Agent	Approved	03/10/2010
B Wisconsin	Agent	Approved	03/10/2010

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
320 WEST EAGLE DRIVE
SUITE 101
DENTON, TX 76201

STIFEL, NICOLAUS & COMPANY, INCORPORATED
Keller, TX



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, 3 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
Futures Managed Funds Examination (S31)	Series 31	12/09/2013
General Securities Representative Examination (S7)	Series 7	02/06/1991

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2010
Uniform Securities Agent State Law Examination (S63)	Series 63	02/13/1991

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
B	01/01/2008 - 03/02/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	DENTON, TX
IA	01/01/2008 - 03/02/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	DENTON, TX
B	01/24/2001 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	DENTON, TX
IA	01/24/2001 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	DENTON, TX
B	02/12/1999 - 02/21/2001	KIRKPATRICK, PETTIS, SMITH, POLIAN INC.	CRD# 490	OMAHA, NE
B	08/16/1996 - 02/04/1999	SCHNEIDER SECURITIES, INC.	CRD# 16434	DENVER, CO
B	07/25/1996 - 08/12/1996	COHIG & ASSOCIATES, INC.	CRD# 16184	ENGLEWOOD, CO
B	09/01/1994 - 04/24/1995	R A F FINANCIAL CORPORATION	CRD# 1398	DENVER, CO
B	02/08/1991 - 08/26/1994	HIBBARD BROWN & CO., INC.	CRD# 18246	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
03/2010 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	DALLAS, TX, 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

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: INDIANA SECURITIES DIVISION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/24/1996

Docket/Case Number: 96-0248 OP

Employing firm when activity occurred which led to the regulatory action: SCHNEIDER SECURITIES, INC.

Product Type:

Other Product Type(s):

Allegations: DAVID ZACHMEYER AND SCHNEIDER SECURITIES, INC. HAVE AGREED TO BE BOUND BY A RESTRICTIVE AGREEMENT THAT REQUIRES STRICT SUPERVISION OF DAVID ZACHMEYER BY A REGISTERED PRINCIPAL PHYSICALLY PRESENT IN THE SAME OFFICE. DAVID ZACHMEYER IS ALSO PROHIBITED FROM EXERCISING ANY DISCRETIONARY AUTHORITY OVER ANY INDIANA CUSTOMER ACCOUNTS.

Current Status: Final

Resolution: Order

Resolution Date: 10/24/1996



Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: DAVID ZACHMEYER HAS BEEN APPROVED FOR REGISTRATION AS AN AGENT IN THE STATE OF INDIANA SUBJECT TO THE ABOVE AGREEMENT.

Regulator Statement CONTACT: JEFF GERSHON, 317/232-6681

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Reporting Source: Individual

Regulatory Action Initiated By: INDIANA SECURITIES DIVISION

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 09/13/1996

Docket/Case Number: 96-0248 OP

Employing firm when activity occurred which led to the regulatory action: SCHNEIDER SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: DAVID ZACHMEYER AND SCHNEIDER SECURITIES INC. HAVE AGREED TO BE BOUND BY A RESTRICTIVE AGREEMENT THAT REQUIRES STRICT SUPERVISION OF DAVID ZACHMEYER BY A REGISTERED PRINCIPAL PHYSICALLY PRESENT IN THE SAME OFFICE. ZACHMEYER IS PROHIBITED FROM EXERCISING ANY DISCRETIONARY AUTHORITY OVER INDIANA CUSTOMER ACCOUNTS.

Current Status: Final

Resolution: Other

Resolution Date: 10/24/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: DAVID ZACHMEYER HAS BEEN APPROVED FOR REGISTRATION AS AN AGENT IN THE STATE OF INDIANA SUBJECT TO THE ABOVE AGREEMENT.

Broker Statement BECAUSE OF MY ASSOCIATION WITH HIBBARD BROWN, AS A CONDITION OF ME BEING REGISTERED IN THE STATE, INDIANA IMPOSED WITH RESTRICTIVE AGREEMENT. I HAVE NEVER HAD A COMPLAINT FROM A CUSTOMER IN THE STATE OF INDIANA BEFORE OR AFTER THE RESTRICTIVE AGREEMENT WAS IN PLACE.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: WISCONSIN SECURITIES COMMISSIONER

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 01/01/1994**Docket/Case Number:** X-93044**Employing firm when activity occurred which led to the regulatory action:** HIBBARD BROWN & CO., INC.**Product Type:****Other Product Type(s):****Allegations:** FRAUD, UNETHICAL BUSINESS PRACTICES**Current Status:** Final**Resolution:** Consent**Resolution Date:** 01/23/1995**Sanctions Ordered:** Censure
Suspension**Other Sanctions Ordered:****Sanction Details:** CONSENT ORDER OF CENSURE AND PROHIBITION**Regulator Statement**
STAFF ALLEGED THAT, BETWEEN AT LEAST JANUARY 1991 AND MARCH 1994, DAVID A. ZACHMEYER AND DAVID K. VANHOUTEN, ON BEHALF OF HIBBARD BROWN & CO., INC., AT ITS CHESTERFIELD, MO, BRANCH OFFICE, CONDUCTED "SELL PERIODS" FOR ABOUT ONE WEEK EVERY MONTH, EGAGING IN FRAUD IN THE OFFER AND SALE OF A LARGE NUMBER OF SHARES IN CERTAIN COMPANIES TO WISCONSIN CUSTOMERS, WITHOUT REGARD TO SUITABILITY, AND USING HIGH PRESSURE SALES TACTICS. RESPONDENTS AGREED NOT TO APPLY FOR A SECURITIES AGENT LICENSE IN WISCONSIN FOR FIVE YEARS, AND HIBBARD, BROWN & COMPANY, INC. AGREED NOT TO APPLY FOR A BROKER-DEALER LICENSE FOR FIVE YEARS. CONTACT SUE KITTEL MOORE, (608) 266-9886**Reporting Source:** Individual**Regulatory Action Initiated By:** STATE OF WISCONSIN - WISCONSIN SECURITIES COMMISSIONER**Sanction(s) Sought:** Other**Other Sanction(s) Sought:****Date Initiated:** 01/01/1994**Docket/Case Number:** X-93044**Employing firm when activity occurred which led to the regulatory action:** HIBBARD BROWN & CO., INC.**Product Type:** Equity - OTC



Other Product Type(s):

Allegations: THE STATE ALLEGED THAT APPLICANT, WHILE A REGISTERED REPRESENTATIVE OF HIBBARD BROWN, ENGAGED IN HIGH PRESSURE SALES TACTICS AND OMITTED TO DISCLOSE INFORMATION TO A WISCONSIN CLIENT.

Current Status: Final

Resolution: Order

Resolution Date: 01/23/1995

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: APPLICANT, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, AGREED NOT TO APPLY FOR A SECURITIES LICENSE IN THE STATE OF WISCONSIN FOR A PERIOD OF 5 YEARS.

Broker Statement THIS ACTION WAS BASED UPON THE COMPLAINT OF ONE OF 80 CLIENTS OF MINE IN THE STATE OF WISCONSIN, WHO RESPONDED TO A QUESTIONNAIRE SENT BY THE STATE TO ALL HIBBARD BROWN CUSTOMER IN THE STATE OF WISCONSIN. THE COMPLAINING CUSTOMER WAS CONCERNED ABOUT HIS PURCHASE OF ONLY ONE OF SEVERAL SECURITIES. I ACCEPTED THE ORDER RATHER THAN INCUR THE EXPENSES OF LITIGATION.
APPLICANT DETERMINED TO ACCEPT THE ORDER RATHER THAN INCUR THE EXPENSES OF LITIGATION.



End of Report

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