IAPD Report

David Gregory Stitt

CRD# 2204447

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 Gregory Stitt (CRD# 2204447)

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 **02/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CURRY WEBB WEALTH MANAGEMENT LLC	CRD# 168692	02/01/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	REJOYCE WEALTH MANAGEMENT	328333	CARMEL, IN	01/10/2024 - 12/31/2024
IA	FOUNDATIONS INVESTMENT ADVISORS LLC	175083	CARMEL, IN	12/15/2023 - 01/04/2024
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Lafayette, IN	08/18/2023 - 12/12/2023

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CURRY WEBB WEALTH MANAGEMENT LLC**

Main Address: 500 E 96TH STREET
SUITE #140
INDIANAPOLIS, IN 46240

Firm ID#: 168692

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	02/01/2024

Branch Office Locations

CURRY WEBB WEALTH MANAGEMENT LLC
320 N Meridian Street
Suite 828
Indianapolis, IN 46204

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/27/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/01/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/11/1992

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	01/10/2024 - 12/31/2024	REJOYCE WEALTH MANAGEMENT	CRD# 328333	CARMEL, IN
IA	12/15/2023 - 01/04/2024	FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	CARMEL, IN
B	08/18/2023 - 12/12/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Lafayette, IN
IA	08/18/2023 - 12/12/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Lafayette, IN
B	04/21/2022 - 08/23/2023	FIFTH THIRD SECURITIES, INC.	CRD# 628	WEST LAFAYETTE, IN
IA	04/13/2022 - 08/23/2023	FIFTH THIRD SECURITIES, INC.	CRD# 628	WEST LAFAYETTE, IN
IA	01/08/2021 - 04/04/2022	ARGI INVESTMENT SERVICES, LLC	CRD# 151916	Indianpolis, IN
IA	08/08/2017 - 01/20/2021	PARK AVENUE SECURITIES LLC	CRD# 46173	INDIANAPOLIS, IN
B	08/01/2017 - 01/20/2021	PARK AVENUE SECURITIES LLC	CRD# 46173	INDIANAPOLIS, IN
B	03/28/2017 - 07/17/2017	AXA ADVISORS, LLC	CRD# 6627	INDIANAPOLIS, IN
IA	03/27/2017 - 07/17/2017	AXA ADVISORS, LLC	CRD# 6627	INDIANAPOLIS, IN
B	06/12/2015 - 07/08/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MERCER ISLAND, WA
IA	06/11/2015 - 07/08/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MERCER ISLAND, WA
B	04/11/2012 - 05/18/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	BELLEVUE, WA
IA	04/11/2012 - 05/18/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	BELLEVUE, WA
B	08/15/2008 - 04/11/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	BELLEVUE, WA
IA	08/15/2008 - 04/11/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	BELLEVUE, WA

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	04/15/2005 - 08/15/2008	THE CONCORD EQUITY GROUP, LLC	CRD# 14569	BELLEVUE, WA
IA	05/08/2007 - 07/03/2008	CONCORD EQUITY GROUP ADVISORS, LLC	CRD# 143315	BELLEVUE, WA
IA	04/20/2005 - 04/27/2007	THE CONCORD EQUITY GROUP, LLC	CRD# 14569	BELLEVUE, WA
IA	03/24/2004 - 04/26/2005	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	BELLEVUE, WA
B	03/18/2004 - 04/26/2005	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
IA	02/26/2001 - 01/21/2004	PIPER JAFFRAY & CO.	CRD# 665	BELLEVUE, WA
B	12/15/2000 - 01/21/2004	PIPER JAFFRAY & CO.	CRD# 665	MINNEAPOLIS, MN
B	03/02/1998 - 12/19/2000	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/29/1992 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	

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
12/2023 - Present	Foundations Investment Advisors, LLC	Investment Adviser Representative	Y	Carmel, IN, United States
12/2023 - Present	ReJoyce Financial	Sr. Advisor	Y	Carmel, IN, United States
12/2023 - Present	ReJoyce Wealth Management	Investment Adviser Representative	Y	Carmel, IN, United States
08/2023 - 12/2023	Ameriprise Financial Services, LLC	Financial Advisor	Y	Lafayette, IN, United States
04/2022 - 08/2023	FIFTH THIRD BANK	INVESTMENT EXECUTIVE	Y	LAFAYETTE, IN, United States
04/2022 - 08/2023	Fifth Third Securities	Financial Advisor	Y	Lafayette, IN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2021 - 04/2022	ARGI Investment Services (Cerity Partners)	Financial Advisor	Y	Indianapolis, IN, United States
07/2017 - 12/2020	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	INDIANAPOLIS, IN, United States
07/2017 - 12/2020	Park Avenue Securities	Financial Advisor	Y	Indianapolis, IN, United States
03/2017 - 06/2017	AXA Advisors, LLC	Financial Advisor	Y	New York, NY, United States
07/2016 - 03/2017	Angie's List	Associate	N	Indianapolis, IN, United States
07/2015 - 06/2016	Unemployed	Unemployed	N	Indianapolis, IN, 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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DAIN RAUSCHER INCORPORATED
Allegations:	CLIENT ALLEGES UNSUITABLE INVESTMENTS, MISMANAGEMENT OF ACCOUNT, NEGLIGENCE, AND BREACH OF FIDUCIARY DUTY AND SEEKS DAMAGES "TO BE PROVEN AT THE HEARING"- BELIEVED TO BE APPROXIMATELY $465,000.00
Product Type:	Other
Other Product Type(s):	SHORT SALES AND WRITING COVERED CALLS
Alleged Damages:	$465,000.00

Customer Complaint Information

Date Complaint Received:	03/23/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/26/1999
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD;98-04855
Date Notice/Process Served:	01/26/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/10/2000
Monetary Compensation Amount:	$145,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MR. STITT REFUTES THE CLAIM. HERE ARE THE FACTS: [CUSTOMER] COMPLAINED ONLY ABOUT LOOSING TRADES, NOT THE WINNING TRADES/POSITIONS. "THE INDIVIDUAL TRADES MADE AND THE STRATEGIES USED IN THE DAIN ACCOUNT WERE REPEATEDLY CONFIRMED BY CLAIMANT [CUSTOMER] AS SUITABLE TO HIS GROWTH AND INCOME OBJECTIVES, AND, IN FACT, THE ACCOUNT ACHIEVED THOSE OBJECTIVES BY PROVIDING ALMOST $500,000 CASH OVER TWO YEARS WHILE PRESERVING AND ACTUALLY INCREASING THE PORTFOLIO VALUE TO $725,062." "ACCORDING TO EVEN CONSERVATIVE CALCULATIONS, [CUSTOMER] STARTED AT DAIN WITH A PORTFOLIO WORTH ABOUT $700,000 IN FEBRUARY 1996, WITHDREW OVER $480000 TOTAL CASH DURING THE TWO-YEAR LIFE OF THE ACCOUNT (OUT OF WHICH HE PAID OFF A $286,113 MARGIN DEBT TRANSFERRED IN), AND STILL WALKED AWAY WITH A PORTFOLIO VALUED AT OVER $725,000. BY DEFINITION, HE ACHIEVED INCOME AND GROWTH AND AN ESTIMATED INTERNAL RATE OF RETURN OF OVER 41%. THE FULL SETTLEMENT WAS PAID BY DAIN WITH NO CONTRIBUTION BY STITT.

End of Report

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