User Guidance

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IAPD Report

DAVID PALMER STAMPER

CRD# 2301862

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

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Report Summary

DAVID PALMER STAMPER (CRD# 2301862)

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 **06/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/20/2019
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	05/20/2021 - 06/29/2023
IA	SUMMIT FINANCIAL GROUP INC	109485	CARY, NC	10/04/2006 - 05/20/2021
B	SUMMIT BROKERAGE SERVICES, INC.	34643	CARY, NC	10/04/2006 - 09/20/2019

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	5

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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/20/2019
B	FINRA	General Securities Representative	Approved	09/20/2019
B	Arizona	Agent	Approved	09/20/2019
B	Indiana	Agent	Approved	02/04/2022
B	New York	Agent	Approved	12/12/2023
B	North Carolina	Agent	Approved	09/20/2019
B	Virginia	Agent	Approved	09/20/2019

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
CARY, NC

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

Qualifications

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
CARY, NC

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
B	General Securities Principal Examination (S24)	Series 24	03/02/2007
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/23/2006

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	01/22/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/18/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/03/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	05/20/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	10/04/2006 - 05/20/2021	SUMMIT FINANCIAL GROUP INC	CRD# 109485	CARY, NC
B	10/04/2006 - 09/20/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	CARY, NC
IA	12/31/2001 - 10/11/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	APEX, NC
B	10/01/2000 - 10/11/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	APEX, NC
B	07/11/1995 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	08/06/1999 - 08/28/1999	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	CHARLOTTE, NC
B	01/05/1994 - 07/12/1995	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	12/21/1993 - 01/06/1994	MID-ATLANTIC SECURITIES, INC.	CRD# 18836	RALEIGH, NC
B	01/26/1993 - 12/17/1993	A. G. EDWARDS & SONS, INC.	CRD# 4	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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2020 - Present	STAMPER WEALTH MANAGEMENT	OWNER/REGISTERED REPRESENTATIVE	Y	CARY, NC, United States
09/2019 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
10/2006 - 05/2021	SUMMIT FINANCIAL GROUP INC	IA REP	Y	CARY, NC, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2006 - 09/2019	SUMMIT BROKERAGE SERVICES INC	REG REP	Y	CARY, NC, 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) NAME OF OTHER BUSINESS: STAMPER WEALTH MANAGEMENT;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 9/2020;
POSITION/TITLE/RELATIONSHIP: OWNER/REGISTERED REPRESENTATIVE;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUMMIT BROKERAGE SERVICES, INC.
Allegations:	CLAIMANTS ALLEGE THEY WERE RECOMMENDED UNSUITABLE INVESTMENTS.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED COMPENSATORY DAMAGES, BELIEVE TO BE $5000 OR MORE.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - RALEIGH, NC
Docket/Case #:	23-00079
Filing date of arbitration/CFTC reparation or civil litigation:	01/10/2023

Customer Complaint Information

Date Complaint Received:	01/11/2023
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2023
Settlement Amount:	$27,500.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURIITES, LLC
Allegations:	NC CLIENT, WHO OPENED ACCOUNT IN MAY 2002, VERBALLY ALLEGES, THROUGH HER SON, THAT SHE SHOULD NOT HAVE BEEN IN UNSECURED OR UNGUARANTEED SECURITIES. NO DAMAGES ARE SPECIFIED. DAMAGES ARE ESTIMATED TO BE $25,500.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$25,500.00

Customer Complaint Information

Date Complaint Received:	02/10/2005
Complaint Pending?	No
Status:	Settled
Status Date:	03/17/2005
Settlement Amount:	$24,999.99
Individual Contribution Amount:	$24,999.99
Broker Statement	THIS WAS A VERBAL COMPLAINT THAT SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF $24,999.99

Disclosure 3 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	VIRGINIA CLIENT, THROUGH HER ATTORNEY IN FACT, CLAIMS THAT HER ADVISOR DESCRIBED HER INVESTMENT AS A BOND, WHEN IN FACT IT WAS A PREFERRED STOCK. CLIENT CLAIMS LOSSES OF $41,737.45 ON HER INVESTMENT MADE IN MAY 2002.
Product Type:	Equity - OTC
Alleged Damages:	$41,737.45

Customer Complaint Information

Date Complaint Received: 04/04/2003

Complaint Pending? No

Status: Settled

Status Date: 06/30/2003

Settlement Amount: $33,672.42

Individual Contribution Amount: $16,836.21

Broker Statement SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF $33,672.42.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, INC.

Allegations: NORTH CAROLINA CLIENTS CLAIM THAT THEIR ADVISOR DID NOT PROPERLY EXPLAIN THEIR VARIABLE ANNUITIES' GUARANTEED INCOME BENEFIT. ANNUITIES PURCHASED IN MAY 2000. CLIENTS SEEK RETURN OF THEIR ORIGINAL INVESTMENT PLUS THE INCOME BENEFIT, A SUM OF APPROXIMATELY $111,641 DUE TO CURRENT CONTRACT VALUES.

Product Type: Annuity(ies) - Variable

Alleged Damages: $111,641.00

Customer Complaint Information

Date Complaint Received: 10/23/2002

Complaint Pending? No

Status: Denied

Status Date: 11/13/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED. FA REPRESENTS THAT HE EXPLAINED THE INCOME BENEFIT'S LIMITATIONS BEFORE CLIENTS PURCHASED THEIR ANNUITIES. IN ADDITION, PRIOR TO THEIR PURCHASE, CLIENTS EXECUTED DOCUMENTS THAT AFFIRMED THEY UNDERSTOOD THEIR ANNUITIES.

Disclosure 5 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WACHOVIA SEC

Allegations: THE STATEMENT OF CLAIM ALLEGES BREACH OF FIDUCIARY DUTY,FRAUD AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF AN ANNUITY.

	THE CLAIM SEEKS RESCISSION OR COMPENSATORY DAMAGES.
Product Type:	Other
Alleged Damages:	$350,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE - CASE #2002-011035
Date Notice/Process Served:	10/31/2002
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	05/19/2004
Disposition Detail:	1. WACHOVIA SECURITIES AND DAVID PALMER STAMPER, JOINTLY AND SEVERALLY, SHALL PAY TO SAMUEL I. PRIDGEN, III AND ELEANOR WILLIAM PRIDGEN, $35,000.00 AS AN AWARD ON THE STATEMENT OF CLAIM. 2. NO INTEREST OR ATTORNEYS'FEES ARE AWARDED. 3. NYSE FORUM FEES ARE ASSESSED AGIANST THE PARTIES EQUALLY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNIOIN SECURITIES, INC.
Allegations:	[CUSTOMERS] HAVE ALLEGED THAT THE PRODUCT SOLD TO THEM WAS SUBJECT TO MORE RISK THAN THEY WERE COMFORTABLE WITH.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$350,000.00

Customer Complaint Information

Date Complaint Received:	09/27/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/25/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE CASE # 2002-011035
Date Notice/Process Served:	11/25/2002
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/21/2004

Monetary Compensation Amount:	$35,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AFTER HEARING, ARBITRATION PANEL RENDERED AN AWARD IN FAVOR OF CLAIMANTS IN THE AMOUNT OF $35,000.00.

End of Report

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