IAPD Report

JAMES LEBARON SPRINGER

CRD# 2535792

Section Title | **Page(s)**

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

JAMES LEBARON SPRINGER (CRD# 2535792)

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 **06/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/11/2014
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/12/2014

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **26** 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	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	02/21/2002 - 08/14/2014
B	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	02/19/2002 - 08/14/2014
B	THE HUNTINGTON INVESTMENT COMPANY	16986	COLUMBUS, OH	10/20/1998 - 02/21/2002

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	2
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 **26** 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	08/12/2014
B	FINRA	General Securities Representative	Approved	08/12/2014
B	NYSE American LLC	General Securities Representative	Approved	08/12/2014
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/12/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	08/12/2014
B	New York Stock Exchange	General Securities Representative	Approved	08/12/2014
B	California	Agent	Approved	08/13/2014
B	Colorado	Agent	Approved	09/04/2014
B	Connecticut	Agent	Approved	09/08/2014
B	District of Columbia	Agent	Approved	08/12/2014
IA	Florida	Investment Adviser Representative	Approved	08/12/2014
B	Florida	Agent	Approved	08/13/2014
B	Georgia	Agent	Approved	08/12/2014

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	10/03/2014
B	Indiana	Agent	Approved	05/16/2016
B	Kentucky	Agent	Approved	09/11/2014
B	Louisiana	Agent	Approved	08/31/2016
B	Maine	Agent	Approved	10/01/2014
B	Maryland	Agent	Approved	08/12/2014
B	Michigan	Agent	Approved	08/12/2014
B	Minnesota	Agent	Approved	08/12/2014
B	Nevada	Agent	Approved	08/18/2014
B	New Jersey	Agent	Approved	08/12/2014
B	New Mexico	Agent	Approved	08/12/2014
B	New York	Agent	Approved	08/12/2014
B	North Carolina	Agent	Approved	08/12/2014
B	Ohio	Agent	Approved	11/29/2022
B	Pennsylvania	Agent	Approved	08/12/2014
B	Rhode Island	Agent	Approved	08/12/2014
B	South Carolina	Agent	Approved	08/21/2014
B	Tennessee	Agent	Approved	12/17/2024
B	Texas	Agent	Approved	08/12/2014

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	08/11/2014
B	Wisconsin	Agent	Approved	01/22/2021

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
2 NORTH TAMIAMI TRAIL
SARASOTA, FL 34236

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, 4 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	Futures Managed Funds Examination (S31)	Series 31	09/17/2007
B	General Securities Representative Examination (S7)	Series 7	11/24/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/03/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/01/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/1994

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	02/21/2002 - 08/14/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	02/19/2002 - 08/14/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	10/20/1998 - 02/21/2002	THE HUNTINGTON INVESTMENT COMPANY	CRD# 16986	COLUMBUS, OH
B	04/01/1998 - 10/23/1998	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	BOSTON, MA
B	08/30/1997 - 04/01/1998	BARNETT INVESTMENTS, INC.	CRD# 14897	JACKSONVILLE, FL
B	10/04/1994 - 08/21/1997	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC

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
08/2014 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	SARASOTA, FL, 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. JM Land Ventures; 5888 Houston Ln Crestview FL 32539; Spec home construction; Manager/ Member; Lend money to brother in law for home construction; affiliation started 01/03/2011; 1 hour per year; not during securities trading hours; not investment-related.
2. Springer Ventures LLC; 8734 Monterey Loop, Bradenton, FL, 34212; LLC Partner-Co-Owner of Anytime Fitness through Springer Ventures LLC; 4/13/2018; 0.00 Hour(s) Per Day - not during securities trading hours; Not-investment related
3. Sigma Chi Area Alumni Group;138 Arcadia FL 34266;Alumni Fraternity Group; President; organize social events; 6/3/19;12 hr/yr; not during securities trading hours; not investment related.
4. Gamma Theta Foundation, Inc; 600 Highland Avenue, Windemere, FL 34786; Scholarship fund for the Sigma Chi Fraternity; Director; Facilitate the direction of funds; 02/10/2021; 5 Hours per Quarter; Not During Securities Trading Hours; Not Investment-Related.
5. The Midnight Pass Society II Inc; 5355 McIntosh Rd, Sarasota, FL 34233; An org dedicated to re-opening the Midnight Pass to the Gulf of Mexico from Little Sarasota Bay; Board Member; Community organization; 07/06/2022; 2 Hours per Month; Not during securities trading hours; Not Investment-Related.
6. Gamma Theta 2020 LLC, 100 South Eola Dr - Unit 1506, Orlando, FL 32801; Construction and Scholarship for University of

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Florida Sigma Chi Fraternity; Director; To facilitate the direction of funds to be used for construction of UF Sigma Chi Fraternity House and Scholarship; 8/27/19; 5 hr/Qtr; Not During Securities Trading Hours; Not Investment Related.
7. Point of Rocks Legacy LLC; 6920 Point of Rocks Sarasota, FL 34242; Investment Property; Managing Officer; Property Oversight; 6/12/25; 1hr/mth; Not during securities trading hours; Investment related
8. The Original Beach House Charters LLC; 8285 Midnight Pass Road Sarasota FL 34242; Boat Charter; Managing Partner; Manager; 05/22/2026; 1 hr/week; Not during security trading hours; Not 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
Customer Dispute	2
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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANTS ALLEGE MISREPRESENTATIONS, UNSUITABILITY, OVER CONCENTRATION, AND FAILURE TO DIVERSIFY THEIR ACCOUNTS IN 2007.
Product Type:	Mutual Fund Other: HEDGE FUNDS AND EQUITIES
Alleged Damages:	$477,074.31

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-02206
Date Notice/Process Served:	05/18/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/11/2010
Monetary Compensation Amount:	$200,000.00

Individual Contribution Amount: $0.00

Broker Statement THE CLAIMS MADE AGAINST ME ARE MERITLESS AND I WANTED TO VIGOROUSLY DEFEND MYSELF IN THIS MATTER. THE CLAIMANT BROUGHT IN ASSETS DURING THE MARKET PEAK IN THE FOURTH QUARTER OF 2007 AND LIQUIDATED DURING THE HISTORIC CREDIT CRISIS AT THE MARKET BOTTOM IN THE FIRST QUARTER OF 2009. I MET WITH THE CLIENT REGULARLY DURING THIS PERIOD. I HAD PROVIDED THE CLAIMANT A FULLY DIVERSIFIED PORTFOLIO ALONG WITH PROSPECTUS WHICH DETAILED THE RISK ASSOCIATED OF EACH INVESTMENT. BASED ON THE CLIENTS STATED INVESTMENT OBJECTIVES, THE INVESTMENTS WERE SUITABLE AT THE TIME OF PURCHASE FOR THE CLIENT. FURTHERMORE, IN THE FOREGOING ARBITRATION, WHICH WAS SETTLED AT MEDIATION, THIS SETTLEMENT DOES NOT REFLECT ANY ACKNOWLEDGEMENT OR ADMISSION OF LIABILITY OR MISCONDUCT ON MY PART WHATSOEVER. UBS RESOLVED THIS ISSUE STRICTLY TO AVOID THE POTENTIAL COST OF LITIGATION AND UNCERTAINTIES OF THE ARBITRATION FORUM. FINALLY, I DID NOT, NOR WAS I ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THIS CASE.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC,

Allegations: JUNE 2006-2009. CLAIMANT ALLEGES RESPONDENTS MADE UNSUITABLE RECOMMENDATIONS ON SELECTED SPECULATIVE AND VOLATILE FEE-BASED MANAGED FUNDS.

Product Type: Other: MANAGED ACCOUNTS AND ALTERNATIVE INVESTMENTS

Alleged Damages: $445,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/09/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/09/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #:	09-06759
Date Notice/Process Served:	12/09/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/06/2010
Monetary Compensation Amount:	$90,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I DISAGREE WITH THE ALLEGATIONS CLAIMED AGAINST ME. ALTHOUGH I WANTED TO DEFEND MYSELF IN THE ARBITRATION PROCEEDINGS, UBS MADE THE BUSINESS DECISION TO SETTLE FOR LESS THAN WHAT IT PERCEIVED WAS THE COST OF DEFENSE. I WAS NOT CONSULTED NOR ASKED TO CONTRIBUTE IN ANY FASHION TOWARDS THIS SETTLEMENT

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:	Firm
Firm Name:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	07/23/2014
Allegations:	MR. SPRINGER WAS DISCHARGED AFTER HE ACKNOWLEDGED THAT, FOR SEVERAL YEARS, HE HAD CAUSED CHARGES ON HIS CORPORATE CREDIT CARD TO BE CHARACTERIZED INACCURATELY SO AS TO PORTRAY CERTAIN OF HIS PERSONAL EXPENSES AS BUSINESS EXPENSES IN ORDER TO GET BACK FUNDS SET ASIDE FROM HIS OWN PRE-TAX EARNINGS TO PAY FOR BUSINESS EXPENSES; NO CLIENT ACCOUNTS WERE HARMED. THE FIRM ALSO CONCLUDED HE GAVE UNSATISFACTORY ANSWERS TO FIRM MANAGEMENT REGARDING MULTIPLE CLIENT EVENTS AND THE FIRM'S NON-CASH COMPENSATION POLICY.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	UBS
Termination Type:	Discharged
Termination Date:	07/23/2014
Allegations:	ALLEGED VIOLATION OF INDUSTRY STANDARDS OF CONDUCT. NOT CLIENT RELATED AND NOT SALES PRACTICE RELATED
Product Type:	No Product

End of Report

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