IAPD Report

STOKES KEISLER SHEALY JR

CRD# 2672430

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

STOKES KEISLER SHEALY JR (CRD# 2672430)

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 **05/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	02/17/2021
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	02/17/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	BB&T SECURITIES, LLC	142785	RICHMOND, VA	02/09/2017 - 02/17/2021
B	BB&T SECURITIES, LLC	142785	RICHMOND, VA	02/08/2017 - 02/17/2021
B	WELLS FARGO CLEARING SERVICES, LLC	19616	COLUMBIA, SC	05/22/2009 - 02/15/2017

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

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

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/17/2021
B	Alabama	Agent	Approved	09/07/2021
B	Arizona	Agent	Approved	05/28/2025
B	Arkansas	Agent	Approved	05/28/2025
B	California	Agent	Approved	02/17/2021
B	Colorado	Agent	Approved	09/07/2021
B	Delaware	Agent	Approved	10/07/2021
B	District of Columbia	Agent	Approved	10/07/2021
B	Florida	Agent	Approved	02/17/2021
B	Georgia	Agent	Approved	02/17/2021
B	Idaho	Agent	Approved	10/07/2021
B	Illinois	Agent	Approved	02/17/2021
B	Indiana	Agent	Approved	02/17/2021

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	02/17/2021
B	Kentucky	Agent	Approved	02/17/2021
B	Louisiana	Agent	Approved	09/07/2021
B	Maryland	Agent	Approved	10/07/2021
B	Michigan	Agent	Approved	02/17/2021
B	Mississippi	Agent	Approved	12/19/2022
B	Nebraska	Agent	Approved	09/07/2021
B	New Hampshire	Agent	Approved	06/17/2024
B	New Jersey	Agent	Approved	11/04/2021
B	New Mexico	Agent	Approved	09/07/2021
B	New York	Agent	Approved	10/11/2021
B	North Carolina	Agent	Approved	02/17/2021
B	North Dakota	Agent	Approved	10/28/2022
B	Ohio	Agent	Approved	02/17/2021
B	Oregon	Agent	Approved	09/07/2021
B	Rhode Island	Agent	Approved	03/02/2022
B	South Carolina	Agent	Approved	02/17/2021
B	Tennessee	Agent	Approved	02/17/2021
B	Texas	Agent	Approved	09/07/2021

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	02/17/2021
B	Washington	Agent	Approved	10/11/2021
B	West Virginia	Agent	Approved	02/17/2021

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
1201 MAIN ST
FL 7
COLUMBIA, SC 29201

SUNTRUST INVESTMENT SERVICES, INC.
COLUMBIA, SC

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 283390

	Regulator	Registration	Status	Date
IA	Rhode Island	Investment Adviser Representative	Approved	10/04/2021
IA	South Carolina	Investment Adviser Representative	Approved	02/17/2021
IA	Texas	Investment Adviser Representative	Approved	12/07/2021

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
1201 MAIN ST
STE 700
COLUMBIA, SC 29201

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
	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	12/22/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/04/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/28/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/04/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	02/09/2017 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	02/08/2017 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	05/22/2009 - 02/15/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	COLUMBIA, SC
IA	05/22/2009 - 02/15/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	COLUMBIA, SC
B	10/08/2004 - 05/27/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	AIKEN, SC
IA	10/08/2004 - 05/27/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	AIKEN, SC
IA	08/23/2001 - 10/20/2004	LEGG MASON WOOD WALKER INC	CRD# 6555	COLUMBIA, SC
B	06/29/2001 - 10/20/2004	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	11/18/1999 - 07/09/2001	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	05/03/1999 - 11/23/1999	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	11/14/1997 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	07/17/1996 - 11/14/1997	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	01/05/1996 - 05/14/1996	NYLIFE SECURITIES INC.	CRD# 5167	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
02/2021 - Present	TRUIST INVESTMENT SERVICES, INC.	Mass Transfer	Y	COLUMBIA, SC, United States
02/2021 - Present	TRUIST ADVISORY SERVICES, INC.	Mass Transfer	Y	COLUMBIA, SC, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2017 - Present	BB&T SECURITIES	FINANCIAL ADVISOR	Y	COLUMBIA, SC, United States
11/2016 - 02/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	COLUMBIA, SC, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	COLUMBIA, SC, 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.

ROTARY CLUB OF FOREST ACRES
POSITION: member NATURE: http://www.forestacresrotary.org/past president INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/05/2006
ADDRESS: 6719 North Trenholm Rd, Columbia SC 29206

AMERICAN HEART ASSOCIATION
POSITION: advisory capacity for walk NATURE:
INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/26/2018
ADDRESS: 190 Knox Abbott Dr., Cayce SC 29033

THE LEUKEMIA & LYMPHOMA SOCIETY
POSITION: volunteer NATURE: Executive Challenge fund raising for Light the Night INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 09/25/2018
ADDRESS: 107 Westpark Blvd, Suite 150, Columbia SC 29210

COLUMBIA EXECUTIVES AND OWNER'S ASSOCIATION
POSITION: member - Chairman of the Board NATURE: Group promotes business for and through its membership. INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 06/03/2002
ADDRESS: Columbia SC, United States
DESCRIPTION: Promote business by getting to know the people in the group. No operational authority however more of a figure head. I will only be involved if there are any internal disputes that the operating board cannot resolve. I will not have check signing authority or operational control.

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

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:	Firm
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Clients claimed FA mismanaged accounts which did not meet expectations set forth in Envision reports and the investments were not in accordance with investment objectives. (4/15/2010-10/31/2016)
Product Type:	Other: Wrap Accounts
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client demanded return of fees for 7 years and compensation of $103,725.00.
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:	06/20/2017
Complaint Pending?	No
Status:	Denied
Status Date:	08/18/2017

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors

Allegations: Clients claim FA mismanaged accounts which did not meet expectations set forth in Envision reports and the investments were not in accordance with investment objectives. (4/15/2010-10/31/2016)

Product Type: Other: Wrap Accounts

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): Client demands return of fees for 7 years and compensation of $103,725.00

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: 06/20/2017

Complaint Pending? No

Status: Denied

Status Date: 08/18/2017

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: 4.CUSTOMER CLAIMS FINANCIAL ADVISOR PURCHASED AN EQUITY LISTED INVESTMENT WITHOUT AUTHORIZATION DURING THE PERIOD OF APRIL 2007 THROUGH FEBRUARY 2009. COMPENSATORY DAMAGES UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): COMPENSATORY DAMAGES UNSPECIFIED, HOWEVER, ESTIMATED TO BE OVER $5,000

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: 06/12/2009

Complaint Pending? No

Status: Denied

Status Date: 06/22/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC

Allegations: CUSTOMER CLAIMS FINANCIAL ADVISOR PURCHASED AN EQUITY LISTED INVESTMENT WITHOUT AUTHORIZATION DURING THE PERIOD OF APRIL 2007 THROUGH FEBRUARY 2009. COMPENSATORY DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): COMPENSATORY DAMAGES UNSPECIFIED, HOWEVER, ESTIMATED TO BE OVER $5,000

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: 06/12/2009

Complaint Pending? No

Status: Denied

Status Date: 06/22/2009

Settlement Amount:

Individual Contribution Amount:

End of Report

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