



IAPD Report

JAMES PETER GOETZ JR

CRD# 2826111

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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 PETER GOETZ JR (CRD# 2826111)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/20/2014
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/21/2014

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **28** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PITTSFORD, NY	01/21/1999 - 09/19/2014
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PITTSFORD, NY	02/06/1998 - 09/19/2014

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	1
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 **28** jurisdiction(s) and 11 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	10/20/2014
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/11/2026
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/11/2026
B FINRA	General Securities Representative	Approved	10/20/2014
B Investors' Exchange LLC	General Securities Representative	Approved	05/11/2026
B NYSE American LLC	General Securities Representative	Approved	10/20/2014
B NYSE Texas, Inc.	General Securities Representative	Approved	05/11/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/11/2026
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/20/2014
B Nasdaq Stock Market	General Securities Representative	Approved	10/20/2014
B New York Stock Exchange	General Securities Representative	Approved	10/20/2014
B Arizona	Agent	Approved	12/18/2014
B California	Agent	Approved	10/20/2014



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	02/12/2015
B	Connecticut	Agent	Approved	12/05/2014
B	District of Columbia	Agent	Approved	10/22/2014
B	Florida	Agent	Approved	12/22/2014
B	Georgia	Agent	Approved	10/20/2014
B	Illinois	Agent	Approved	10/20/2014
B	Indiana	Agent	Approved	10/28/2014
B	Kansas	Agent	Approved	10/27/2014
B	Maryland	Agent	Approved	05/19/2022
B	Michigan	Agent	Approved	11/19/2014
B	New Hampshire	Agent	Approved	11/26/2024
B	New Jersey	Agent	Approved	11/18/2014
B	New Mexico	Agent	Approved	03/21/2023
B	New York	Agent	Approved	10/20/2014
IA	New York	Investment Adviser Representative	Approved	10/29/2021
B	North Carolina	Agent	Approved	12/18/2014
B	Ohio	Agent	Approved	12/10/2014
B	Oklahoma	Agent	Approved	01/29/2019
B	Oregon	Agent	Approved	08/07/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	10/21/2014
B Rhode Island	Agent	Approved	10/20/2014
B South Carolina	Agent	Approved	10/21/2014
B Tennessee	Agent	Approved	11/25/2014
B Texas	Agent	Approved	01/15/2015
IA Texas	Investment Adviser Representative	Restricted Approval	10/21/2014
B Vermont	Agent	Approved	01/05/2015
B Virginia	Agent	Approved	10/20/2014
B Wisconsin	Agent	Approved	11/06/2014

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
295 WOODCLIFF DRIVE
FAIRPORT, NY 14450



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
------	----------	------



 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	02/05/1998
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	10/28/2021
--	-----------	------------

  Uniform Combined State Law Examination (S66)	Series 66	02/26/1998
---	-----------	------------

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	01/21/1999 - 09/19/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PITTSFORD, NY
B	02/06/1998 - 09/19/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PITTSFORD, 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
10/2014 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	ROCHESTER, NY, 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. RENTAL PROPERTY; MULTIPLE RENTAL PROPERTIES ROCHESTER NY; OWNER; AFFILIATION STARTED 01/10/2001; 10 HOURS PER YEAR; NOT DURING SECURITIES TRADING HOURS.
2. Heritage Christian Services Foundation; 275 Kenneth Dr, Suite 100 Rochester NY 14623; human services agency in Upstate New York that works to make sure everyone feels valued; Investment Committee Member; Help monitor Foundation investments; 02/06/2019; 2.00 Hour(s) Per Quarter; during securities trading hours; Not Investment-Related.
3. Heritage Christian Services; 275 Kenneth Dr, Suite 100, Rochester, NY 14623; Human service agency providing care to people with intellectual and developmental disabilities; Foundation Board Member; Attend board meetings to assist with the Foundation objectives; 12/20/2021; 4 Hours per Quarter; During Securities Trading Hours; Not Investment-Related.
4. Heritage Christian Services; 275 Kenneth Dr, Suite 100, Rochester, NY 14623; Human service agency that works to make sure everyone feels valued; Events task force committee member; Develop events to raise awareness about fund raising campaign; 03/18/2022; 2 Hours per Month; During Securities Trading Hours; Not Investment-Related.
5. Heritage Christian Services; 275 Kenneth Dr, Suite 100, Rochester, NY 14623; Human service agency that works to make sure everyone feels valued; Prospect Task Force Committee; Identifying potential donors; 04/08/2022; 6 Hours per Quarter; During Securities 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
Regulatory Event	1
Termination	1

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 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 04/01/2016

Docket/Case Number: [2014042690502](#)

Employing firm when activity occurred which led to the regulatory action: Merrill Lynch, Pierce, Fenner & Smith, Inc.

Product Type: Other: unspecified securities

Allegations: Goetz was named a respondent in a FINRA complaint alleging that he invested in the same private companies in which another registered representative had invested, and failed to give prior written notice to, and receive prior written permission from, his member firm before participating in these private securities transactions. The complaint alleges that Goetz verbally sought authorization to invest in a private company, was expressly instructed by the firm's management not to do so because customers were investors in the company, but made the investment despite the denial of his request.

Current Status: Final

Resolution: Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/18/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: One month
Start Date: 08/31/2017
End Date: 09/30/2017

Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$25,000.00
Portion Levied against individual: \$25,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/29/2017
Was any portion of penalty waived? No

Amount Waived:**Monetary Sanction 2 of 2**

Monetary Related Sanction: Monetary Penalty other than Fines
Total Amount: \$13,190.88
Portion Levied against individual: \$13,190.88
Payment Plan: joint and several
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

**Amount Waived:****Regulator Statement**

Amended Extended Hearing Panel Decision rendered August 2, 2017. The sanctions were based on findings that Goetz invested in private securities transactions without providing prior written notice to, and receiving prior written permission from, his firm. The decision became final on September 18, 2017. Fines paid in full on December 29, 2017.

.....

Reporting Source:

Individual

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Other: N/A

Date Initiated:

04/07/2016

Docket/Case Number:[2014042690502](#)**Employing firm when activity occurred which led to the regulatory action:**

Merrill Lynch, Pierce, Fenner & Smith, Inc.

Product Type:

No Product

Allegations:

Alleged violation of NASD Rule 3040 and FINRA Rule 2010 in connection with failing to receive permission before participating in a private securities transaction.

Current Status:

Final

Resolution:

Decision

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/18/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines
Suspension

Sanction 1 of 1**Sanction Type:**

Suspension

Capacities Affected:

All Capacities

Duration:

One month

Start Date:

08/31/2017

End Date:

09/30/2017

Monetary Sanction 1 of 2**Monetary Related Sanction:**

Monetary Penalty other than Fines

Total Amount:

\$13,190.88

Portion Levied against individual:

\$13,190.88



Payment Plan: joint and several

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$25,000.00

Portion Levied against individual: \$25,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Amended Extended Hearing Panel Decision rendered August 2, 2017. The sanctions were based on findings that Goetz invested in private securities transactions without providing prior written notice to, and receiving prior written permission from, his firm. The decision became final on September 18, 2017.



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: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type: Discharged
Termination Date: 09/09/2014
Allegations: CONDUCT RELATED TO NOT DISCLOSING PRIVATE SECURITIES TRANSACTIONS, INCLUDING TRANSACTIONS ALONGSIDE CLIENTS, AND NOT BEING FORTHCOMING DURING AN INTERNAL REVIEW.
Product Type: Other: NON MERRILL LYNCH PRODUCTS

Reporting Source: Individual
Firm Name: MERRILL LYNCH
Termination Type: Discharged
Termination Date: 09/09/2014
Allegations: CONDUCT RELATED TO NOT DISCLOSING PRIVATE SECURITIES TRANSACTIONS, INCLUDING TRANSACTIONS ALONGSIDE CLIENTS, AND NOT BEING FORTHCOMING DURING AN INTERNAL REVIEW.
Product Type: Other: NON MERRILL LYNCH PRODUCTS



End of Report

This page is intentionally left blank.