



IAPD Report

Nicholas Thomas Stafford

CRD# 2900449

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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

Nicholas Thomas Stafford (CRD# 2900449)

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 **01/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ARKADIOS CAPITAL	CRD# 282710	07/20/2023
IA	ARKADIOS WEALTH ADVISORS	CRD# 288863	07/27/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	EMERSON EQUITY LLC	130032	ATLANTA, GA	04/08/2022 - 07/21/2023
B	EMERSON EQUITY LLC	130032	SAN MATEO, CA	04/07/2022 - 07/21/2023
B	BRIDGE CAPITAL ASSOCIATES, INC.	143475	NORCROSS, GA	01/10/2020 - 03/03/2022

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

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**
Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Firm ID#: 282710

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/20/2023
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	07/20/2023
B	Alabama	Agent	Approved	07/20/2023
B	Arkansas	Agent	Approved	07/20/2023
B	California	Agent	Approved	07/20/2023
B	Colorado	Agent	Approved	07/20/2023
B	Connecticut	Agent	Approved	07/20/2023
B	Florida	Agent	Approved	07/20/2023
B	Georgia	Agent	Approved	07/20/2023
B	Indiana	Agent	Approved	07/20/2023
B	Kentucky	Agent	Approved	07/20/2023
B	Louisiana	Agent	Approved	07/20/2023
B	Maine	Agent	Approved	09/12/2023



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	08/29/2023
B Michigan	Agent	Approved	09/26/2023
B Mississippi	Agent	Approved	07/20/2023
B Missouri	Agent	Approved	07/20/2023
B Nebraska	Agent	Approved	10/24/2023
B New Jersey	Agent	Approved	07/20/2023
B New York	Agent	Approved	07/20/2023
B North Carolina	Agent	Approved	07/20/2023
B Ohio	Agent	Approved	10/18/2023
B Oklahoma	Agent	Approved	12/07/2023
B Oregon	Agent	Approved	07/20/2023
B Pennsylvania	Agent	Approved	07/20/2023
B Rhode Island	Agent	Approved	07/20/2023
B South Carolina	Agent	Approved	07/20/2023
B Tennessee	Agent	Approved	04/19/2026
B Texas	Agent	Approved	07/20/2023
B Virginia	Agent	Approved	07/20/2023
B West Virginia	Agent	Approved	08/29/2023
B Wisconsin	Agent	Approved	09/18/2024



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	07/20/2023

Branch Office Locations

2827 Peachtree Rd NE, Suite 510
Atlanta, GA 30305

Employment 2 of 2

Firm Name: **ARKADIOS WEALTH ADVISORS**
Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Firm ID#: 288863

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	07/27/2023

Branch Office Locations

ARKADIOS WEALTH ADVISORS
2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305






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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/15/2008
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/04/2008
 General Securities Principal Examination (S24)	Series 24	12/13/2006

General Industry/Product Exams

Exam	Category	Date
 Direct Participation Programs Representative Examination (S22TO)	Series 22TO	04/11/2022
 Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	01/10/2020
 Securities Industry Essentials Examination (SIE)	SIE	11/14/2019
 National Commodity Futures Examination (S3)	Series 3	10/31/1997
 General Securities Representative Examination (S7)	Series 7	09/19/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/24/2020
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/1997



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	04/08/2022 - 07/21/2023	EMERSON EQUITY LLC	CRD# 130032	ATLANTA, GA
B	04/07/2022 - 07/21/2023	EMERSON EQUITY LLC	CRD# 130032	SAN MATEO, CA
B	01/10/2020 - 03/03/2022	BRIDGE CAPITAL ASSOCIATES, INC.	CRD# 143475	NORCROSS, GA
IA	08/23/2017 - 04/25/2019	SIGNATUREFD, LLC	CRD# 112758	ATLANTA, GA
IA	01/19/2016 - 07/18/2017	CAPITAL BANK AND TRUST COMPANY	CRD# 170017	IRVINE, CA
IA	09/18/2014 - 01/19/2016	CAPITAL GUARDIAN TRUST COMPANY	CRD# 108236	ATLANTA, GA
B	04/09/2013 - 11/04/2013	ZELMAN PARTNERS, LLC	CRD# 145187	BAY VILLAGE, OH
B	03/04/2002 - 02/25/2013	KEEFE, BRUYETTE & WOODS, INC.	CRD# 481	ATLANTA, GA
B	11/10/1999 - 02/28/2002	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	09/22/1997 - 10/06/1999	LEHMAN BROTHERS INC.	CRD# 7506	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
07/2023 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
07/2023 - Present	Arkadios Wealth Advisors	Investment Adviser Representative	Y	Atlanta, GA, United States
04/2022 - 07/2023	Emerson Equity LLC	Registered Representative	Y	San Mateo, CA, United States
11/2019 - 03/2022	Bridge Capital Associates, Inc.	Investment Banker	Y	Lilburn, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2019 - 11/2019	Contiger Ventures LLC	Managing Member	N	Atlanta, GA, United States
07/2017 - 04/2019	Signaturefd	Investment Advisor Representative	Y	Atlanta, GA, United States
01/2016 - 07/2017	Capital Bank and Trust Company	Mass Transfer	Y	Irvine, CA, United States
08/2014 - 07/2017	Capital Guardian Trust Company	Senior Vice President and Investment Counselor	Y	Atlanta, GA, 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. PERCH WEALTH-INVESTMENT RELATED; 9940 RESEARCH DRIVE, #200 IRVINE, CA 92618; MARKETING VEHICLE THROUGH WHICH INVESTMENT RELATED BUSINESS IS DONE ; VICE PRESIDENT; SALES AND MARKETING OF DST AND OTHER RELATED PRIVATE REAL ESTATE INVESTMENTS. 6.5 HOURS A DAY DURING SECURITIES TRADING HOURS; 03/22
2. CONTIGER VENTURES, LLC-INVESTMENT RELATED; 3225 VERDUN DRIVE NW ATLANTA , GA 30305; SINGLE MEMBER LLC ESTABLISHED FOR TAX PURPOSES RELATED TO NICHOLAS T STAFFORD'S MARKETING ACTIVITIES AS AN INDEPENDENT CONTRACTOR AT EMERSON EQUITY; MANAGING MEMBER; SALES AND MARKETING OF REAL ESTATE-TYPE OF INVESTMENTS 32.5 HOURS A WEEK DURING SECURITIES TRADING HOURS; 05/2019



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:	Firm
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	Suitability
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified Amount
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
Docket/Case #:	25-01880
Filing date of arbitration/CFTC reparation or civil litigation:	09/08/2025

Customer Complaint Information

Date Complaint Received:	12/19/2025
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Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:
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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EMERSON EQUITY LLC

Allegations: The claim is for unsuitable private placements.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified Amount

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

Docket/Case #: 25-01880

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2025

Customer Complaint Information

Date Complaint Received: 12/19/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement The client engaged our services after considering recommendations from several other DST focused advisory firms. We presented a diversified portfolio of DST offerings which allowed her to successfully complete a 1031 Exchange related to the sale of a highly appreciated property in Washington state. This transaction allowed her to defer substantial capital gains and income tax liabilities which otherwise would have been realized when she filed her 2022 income tax returns.



End of Report

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