



## IAPD Report

# HENRY SHARPE LYNN JR

CRD# 315266

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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

### HENRY SHARPE LYNN JR (CRD# 315266)

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 **03/18/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	07/07/2015
<b>IA</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	07/07/2015

### QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **12** 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
<b>IA</b>	STERNE AGEE ASSET MANAGEMENT, INC.	130888	BIRMINGHAM, AL	12/19/2008 - 07/07/2015
<b>B</b>	STERNE, AGEE & LEACH, INC.	791	BIRMINGHAM, AL	06/20/1973 - 07/07/2015

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



## 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 **12** 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>B</b> Cboe BZX Exchange, Inc.	General Securities Principal	Approved	07/09/2015
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/09/2015
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	03/18/2026
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/18/2026
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	03/18/2026
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/18/2026
<b>B</b> FINRA	General Securities Principal	Approved	07/07/2015
<b>B</b> FINRA	General Securities Representative	Approved	07/07/2015
<b>B</b> FINRA	Municipal Securities Principal	Approved	07/07/2015
<b>B</b> FINRA	Municipal Securities Representative	Approved	07/07/2015
<b>B</b> Investors' Exchange LLC	General Securities Principal	Approved	03/18/2026
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	03/18/2026
<b>B</b> NYSE American LLC	General Securities Principal	Approved	07/09/2015



## Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Representative	Approved	07/09/2015
B NYSE American LLC	Municipal Securities Principal	Approved	07/09/2015
B NYSE American LLC	Municipal Securities Representative	Approved	07/09/2015
B NYSE Texas, Inc.	General Securities Principal	Approved	03/18/2026
B NYSE Texas, Inc.	General Securities Representative	Approved	03/18/2026
B Nasdaq ISE, LLC	General Securities Principal	Approved	03/18/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/18/2026
B Nasdaq PHLX LLC	General Securities Principal	Approved	07/09/2015
B Nasdaq PHLX LLC	General Securities Representative	Approved	07/09/2015
B Nasdaq Stock Market	General Securities Principal	Approved	07/07/2015
B Nasdaq Stock Market	General Securities Representative	Approved	07/07/2015
B New York Stock Exchange	General Securities Principal	Approved	07/07/2015
B New York Stock Exchange	General Securities Representative	Approved	07/07/2015
B New York Stock Exchange	Municipal Securities Principal	Approved	07/07/2015
B New York Stock Exchange	Municipal Securities Representative	Approved	07/09/2015
B Alabama	Agent	Approved	07/07/2015
IA Alabama	Investment Adviser Representative	Approved	07/07/2015
B Arkansas	Agent	Approved	11/29/2017
B California	Agent	Approved	04/03/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	07/07/2015
<b>B</b> Florida	Agent	Approved	07/07/2015
<b>B</b> Georgia	Agent	Approved	07/07/2015
<b>B</b> Louisiana	Agent	Approved	07/07/2015
<b>B</b> Mississippi	Agent	Approved	07/07/2015
<b>B</b> New York	Agent	Approved	07/07/2015
<b>B</b> North Carolina	Agent	Approved	07/07/2015
<b>B</b> Tennessee	Agent	Approved	03/04/2016
<b>B</b> Texas	Agent	Approved	07/07/2015
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/13/2020

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
800 SHADES CREEK PARKWAY  
SUITES 750 & 775  
BIRMINGHAM, AL 35209






## 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, 6 general industry/product exams, and 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 Registered Principal Examination (S40)	Series 40	04/02/1976

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	03/08/1983
 NYSE Allied Member Examination (S41)	Series 41	06/16/1982
 Registered Representative Examination (S1)	Series 1	06/15/1973

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/08/1993



## 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	12/19/2008 - 07/07/2015	STERNE AGEE ASSET MANAGEMENT, INC.	CRD# 130888	BIRMINGHAM, AL
B	06/20/1973 - 07/07/2015	STERNE, AGEE & LEACH, INC.	CRD# 791	BIRMINGHAM, AL

### 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
07/2015 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Mass Transfer	Y	ST. LOUIS, MO, United States
07/2015 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Managing Director/Investments	Y	ST. LOUIS, MO, 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. Diane Stobert Sessions and Paul Trammell Sessions, Jr. Foundation; 3800 Colonade Parkway Ste 500 Birmingham AL 35243; Charitable Foundation supports the Birmingham Audubon Society; He is one of the 5 Directors since July 1999; He reviews the investments and makes distributions; affiliation started 07/29/1999; 6 hours per year; during securities trading hours; not investment related.
2. Cathedral Church of the Advent Endowment Fund; 1901 6th Ave N Birmingham AL 35203; Supports Episcopal Cathedral in Birmingham; He has been a Trustee for more than 25 years. Transactions are made only with approval of the 5 Trustees; He is one of 5 Trustees; He oversees the investments and distributes the income; affiliation started 01/01/1987; 5 hours per quarter; during securities trading hours; not investment related.
3. Webb Fund for Outreach C/O Cathedral Church of the Advent Endowment Fund; 2017 6th Avenue North Birmingham AL 35203; Charitable fund for outreach projects of the Cathedral Church of the Advent (Episcopal); One of 5 Trustees; Reviews the portfolio and recommend investments; affiliation started 10/18/2006; 1 hour per quarter; during securities trading hours; not investment-related.
4. Birmingham Museum of Art Endowment Trust; 2000 Rev. Abraham Woods, Jr. Blvd. Birmingham AL 35203; The Endowment Trust has assets of \$20 million plus and distributes about 4% of its principal to the B'ham Museum of Art annually; one of 6 Trustees; along with the other 5 Trustees, oversee the Trust and grant distributions to the Birmingham Museum of Art; 9/20/2017; 2.00 hours per quarter; during securities trading hours; Not Investment-Related
5. Order of First Families of Virginia; 1100 West Leigh Drive Charlottesville, VA 22901; Genealogical Society for people who can trace ancestry to the early settlers of the Virginia Colony; Council Member, Past President; Serve on governing council of organization; 01/01/1988; 10hrs/yr; Not 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

### 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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NASD DISTRICT #5
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/31/1985
<b>Docket/Case Number:</b>	NEW-447-SC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	STERNS, AGEE & LEACH, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	DISTRICT #5 AGAINST STERNE, AGEE & LEACH, INC. AND HENRY S. LYNN, JR. (REGISTERED PRINCIPAL) ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT LYNN, FAILED IN CONNECTION WITH AN ALL-OR-NONE CONTINGENCY OFFERING TO PROMPTLY TRANSMIT INVESTOR FUNDS TO AN ESCROW ACCOUNT IN CONTRAVENTI OF SEC. RULE 15c2-4, FAILED TO INSURE THAT ESCROWED CUSTOMER FUNDS WERE INVESTED (CONT'D IN 9)L
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision



<b>Resolution Date:</b>	07/21/1985
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$1,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	\$1,000 FINE PAID IN FULL
<b>Broker Statement</b>	ONLY IN QUALIFIED SECURITIES AND, FAILED TO MAKE AND KEEP CURRENT A BLOTTER OR OTHER RECORD OF ORIGINAL ENTRY CONTAINING A DAILY RECORD OF THE DATE INVESTOR FUNDS WERE RECEIVED BY THE MEMBER.



## End of Report

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