



## IAPD Report

# JOHN RAYMOND THOMAS

CRD# 3188834

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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

### JOHN RAYMOND THOMAS (CRD# 3188834)

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 **10/23/2025**.

### CURRENT EMPLOYERS

|    | Firm                                     | CRD#       | Registered Since |
|----|------------------------------------------|------------|------------------|
| B  | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793   | 09/29/2009       |
| B  | STIFEL INDEPENDENT ADVISORS, LLC         | CRD# 28218 | 10/12/2009       |
| B  | KEEFE, BRUYETTE & WOODS, INC.            | CRD# 481   | 10/08/2015       |
| IA | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793   | 11/08/2024       |
| IA | STIFEL INDEPENDENT ADVISORS, LLC         | CRD# 28218 | 11/08/2024       |

### QUALIFICATIONS

This representative is currently registered in **12** SRO(s) and **53** 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  | WELLS FARGO ADVISORS, LLC             | 19616 | ST. LOUIS, MO | 01/01/2008 - 10/02/2009 |
| B  | A. G. EDWARDS & SONS, INC.            | 4     | ST. LOUIS, MO | 04/29/2005 - 01/03/2008 |
| IA | TD WATERHOUSE INVESTOR SERVICES, INC. | 7870  | ST. LOUIS, MO | 06/16/2003 - 04/06/2005 |

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.



## Report Summary

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

| Type     | Count |
|----------|-------|
| Criminal | 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 **53** jurisdiction(s) and 12 SRO(s) through his or her employer(s).

### Employment 1 of 3

Firm Name: **STIFEL INDEPENDENT ADVISORS, LLC**

Main Address: 501 N BROADWAY  
ST LOUIS, MO 63102

Firm ID#: 28218

|                                                                                   | Regulator            | Registration                        | Status   | Date       |
|-----------------------------------------------------------------------------------|----------------------|-------------------------------------|----------|------------|
|    | FINRA                | General Securities Principal        | Approved | 10/12/2009 |
|    | FINRA                | General Securities Representative   | Approved | 10/12/2009 |
|  | FINRA                | General Securities Sales Supervisor | Approved | 10/12/2009 |
|  | Alabama              | Agent                               | Approved | 01/27/2025 |
|  | Alaska               | Agent                               | Approved | 01/28/2025 |
|  | Arizona              | Agent                               | Approved | 02/05/2025 |
|  | Arkansas             | Agent                               | Approved | 01/27/2025 |
|  | California           | Agent                               | Approved | 01/27/2025 |
|  | Colorado             | Agent                               | Approved | 01/27/2025 |
|  | Connecticut          | Agent                               | Approved | 01/27/2025 |
|  | Delaware             | Agent                               | Approved | 01/31/2025 |
|  | District of Columbia | Agent                               | Approved | 02/05/2025 |
|  | Florida              | Agent                               | Approved | 01/28/2025 |



## Qualifications

|    | Regulator     | Registration                      | Status   | Date       |
|----|---------------|-----------------------------------|----------|------------|
| B  | Georgia       | Agent                             | Approved | 01/28/2025 |
| B  | Hawaii        | Agent                             | Approved | 01/28/2025 |
| B  | Idaho         | Agent                             | Approved | 01/28/2025 |
| B  | Illinois      | Agent                             | Approved | 10/13/2009 |
| B  | Indiana       | Agent                             | Approved | 02/05/2025 |
| B  | Iowa          | Agent                             | Approved | 01/31/2025 |
| B  | Kansas        | Agent                             | Approved | 01/27/2025 |
| B  | Kentucky      | Agent                             | Approved | 01/28/2025 |
| B  | Louisiana     | Agent                             | Approved | 01/27/2025 |
| B  | Maine         | Agent                             | Approved | 01/27/2025 |
| B  | Maryland      | Agent                             | Approved | 01/30/2025 |
| B  | Massachusetts | Agent                             | Approved | 01/27/2025 |
| B  | Michigan      | Agent                             | Approved | 01/29/2025 |
| B  | Minnesota     | Agent                             | Approved | 03/10/2025 |
| B  | Mississippi   | Agent                             | Approved | 01/29/2025 |
| B  | Missouri      | Agent                             | Approved | 11/17/2009 |
| IA | Missouri      | Investment Adviser Representative | Approved | 11/08/2024 |
| B  | Montana       | Agent                             | Approved | 01/27/2025 |
| B  | Nebraska      | Agent                             | Approved | 01/27/2025 |



## Qualifications

|    | Regulator      | Registration                      | Status              | Date       |
|----|----------------|-----------------------------------|---------------------|------------|
| B  | New Hampshire  | Agent                             | Approved            | 01/27/2025 |
| B  | New Jersey     | Agent                             | Approved            | 01/27/2025 |
| B  | New Mexico     | Agent                             | Approved            | 01/28/2025 |
| B  | New York       | Agent                             | Approved            | 01/28/2025 |
| B  | North Carolina | Agent                             | Approved            | 10/06/2025 |
| B  | North Dakota   | Agent                             | Approved            | 02/03/2025 |
| B  | Ohio           | Agent                             | Approved            | 01/31/2025 |
| B  | Oklahoma       | Agent                             | Approved            | 01/27/2025 |
| B  | Oregon         | Agent                             | Approved            | 01/28/2025 |
| B  | Pennsylvania   | Agent                             | Approved            | 01/28/2025 |
| B  | Puerto Rico    | Agent                             | Approved            | 02/10/2025 |
| B  | Rhode Island   | Agent                             | Approved            | 01/28/2025 |
| B  | South Carolina | Agent                             | Approved            | 01/30/2025 |
| B  | South Dakota   | Agent                             | Approved            | 01/27/2025 |
| B  | Tennessee      | Agent                             | Approved            | 01/28/2025 |
| B  | Texas          | Agent                             | Approved            | 01/28/2025 |
| IA | Texas          | Investment Adviser Representative | Restricted Approval | 01/27/2025 |
| B  | Utah           | Agent                             | Approved            | 01/27/2025 |



## Qualifications

|   | Regulator      | Registration | Status   | Date       |
|---|----------------|--------------|----------|------------|
| B | Vermont        | Agent        | Approved | 01/27/2025 |
| B | Virgin Islands | Agent        | Approved | 01/29/2025 |
| B | Virginia       | Agent        | Approved | 02/11/2025 |
| B | Washington     | Agent        | Approved | 01/27/2025 |
| B | West Virginia  | Agent        | Approved | 02/06/2025 |
| B | Wisconsin      | Agent        | Approved | 01/30/2025 |
| B | Wyoming        | Agent        | Approved | 01/27/2025 |

## Branch Office Locations

**STIFEL INDEPENDENT ADVISORS, LLC**  
ONE FINANCIAL PLAZA 501 NORTH BROADWAY  
ST. LOUIS, MO 63102

## Employment 2 of 3

Firm Name: **KEEFE, BRUYETTE & WOODS, INC.**  
Main Address: 787 7TH AVENUE  
NEW YORK, NY 10019  
Firm ID#: 481

|   | Regulator                | Registration                      | Status   | Date       |
|---|--------------------------|-----------------------------------|----------|------------|
| B | Cboe BYX Exchange, Inc.  | General Securities Principal      | Approved | 08/28/2025 |
| B | Cboe BYX Exchange, Inc.  | General Securities Representative | Approved | 08/28/2025 |
| B | Cboe BZX Exchange, Inc.  | General Securities Principal      | Approved | 08/28/2025 |
| B | Cboe BZX Exchange, Inc.  | General Securities Representative | Approved | 08/28/2025 |
| B | Cboe EDGA Exchange, Inc. | General Securities Principal      | Approved | 08/28/2025 |
| B | Cboe EDGA Exchange, Inc. | General Securities Representative | Approved | 08/28/2025 |





## Qualifications

| Regulator                         | Registration                        | Status   | Date       |
|-----------------------------------|-------------------------------------|----------|------------|
| <b>B</b> Cboe EDGA Exchange, Inc. | General Securities Sales Supervisor | Approved | 08/28/2025 |
| <b>B</b> Cboe EDGX Exchange, Inc. | General Securities Principal        | Approved | 08/28/2025 |
| <b>B</b> Cboe EDGX Exchange, Inc. | General Securities Representative   | Approved | 08/28/2025 |
| <b>B</b> Cboe EDGX Exchange, Inc. | General Securities Sales Supervisor | Approved | 08/28/2025 |
| <b>B</b> FINRA                    | General Securities Principal        | Approved | 10/08/2015 |
| <b>B</b> FINRA                    | General Securities Representative   | Approved | 10/08/2015 |
| <b>B</b> FINRA                    | General Securities Sales Supervisor | Approved | 10/08/2015 |
| <b>B</b> Investors' Exchange LLC  | General Securities Principal        | Approved | 08/28/2025 |
| <b>B</b> Investors' Exchange LLC  | General Securities Representative   | Approved | 08/28/2025 |
| <b>B</b> Nasdaq Stock Market      | General Securities Principal        | Approved | 10/08/2015 |
| <b>B</b> Nasdaq Stock Market      | General Securities Representative   | Approved | 10/08/2015 |
| <b>B</b> Nasdaq Stock Market      | General Securities Sales Supervisor | Approved | 10/08/2015 |
| <b>B</b> New York Stock Exchange  | General Securities Principal        | Approved | 10/08/2015 |
| <b>B</b> New York Stock Exchange  | General Securities Representative   | Approved | 10/08/2015 |
| <b>B</b> New York Stock Exchange  | General Securities Sales Supervisor | Approved | 10/01/2018 |
| <b>B</b> Missouri                 | Agent                               | Approved | 10/14/2015 |

## Branch Office Locations

501 N. BROADWAY  
ST. LOUIS, MO 63102

## Employment 3 of 3



## Qualifications

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 Principal        | Approved | 08/28/2025 |
| B | Cboe BZX Exchange, Inc.  | General Securities Representative   | Approved | 08/28/2025 |
| B | Cboe EDGA Exchange, Inc. | General Securities Principal        | Approved | 08/28/2025 |
| B | Cboe EDGA Exchange, Inc. | General Securities Representative   | Approved | 08/28/2025 |
| B | Cboe EDGA Exchange, Inc. | General Securities Sales Supervisor | Approved | 08/28/2025 |
| B | Cboe EDGX Exchange, Inc. | General Securities Principal        | Approved | 08/28/2025 |
| B | Cboe EDGX Exchange, Inc. | General Securities Representative   | Approved | 08/28/2025 |
| B | Cboe EDGX Exchange, Inc. | General Securities Sales Supervisor | Approved | 08/28/2025 |
| B | FINRA                    | General Securities Principal        | Approved | 09/29/2009 |
| B | FINRA                    | General Securities Representative   | Approved | 09/29/2009 |
| B | FINRA                    | General Securities Sales Supervisor | Approved | 09/29/2009 |
| B | Investors' Exchange LLC  | General Securities Principal        | Approved | 08/28/2025 |
| B | Investors' Exchange LLC  | General Securities Representative   | Approved | 08/28/2025 |
| B | NYSE American LLC        | General Securities Principal        | Approved | 09/29/2009 |
| B | NYSE American LLC        | General Securities Representative   | Approved | 09/29/2009 |
| B | NYSE American LLC        | General Securities Sales Supervisor | Approved | 10/01/2018 |



## Qualifications

|   | Regulator               | Registration                        | Status   | Date       |
|---|-------------------------|-------------------------------------|----------|------------|
| B | NYSE Texas, Inc.        | General Securities Principal        | Approved | 08/28/2025 |
| B | NYSE Texas, Inc.        | General Securities Representative   | Approved | 08/28/2025 |
| B | NYSE Texas, Inc.        | General Securities Sales Supervisor | Approved | 08/28/2025 |
| B | Nasdaq ISE, LLC         | General Securities Principal        | Approved | 08/28/2025 |
| B | Nasdaq ISE, LLC         | General Securities Representative   | Approved | 08/28/2025 |
| B | Nasdaq ISE, LLC         | General Securities Sales Supervisor | Approved | 08/28/2025 |
| B | Nasdaq PHLX LLC         | General Securities Representative   | Approved | 09/29/2009 |
| B | Nasdaq PHLX LLC         | General Securities Sales Supervisor | Approved | 09/29/2009 |
| B | Nasdaq PHLX LLC         | General Securities Principal        | Approved | 08/28/2025 |
| B | Nasdaq Stock Market     | General Securities Principal        | Approved | 09/29/2009 |
| B | Nasdaq Stock Market     | General Securities Representative   | Approved | 09/29/2009 |
| B | Nasdaq Stock Market     | General Securities Sales Supervisor | Approved | 09/29/2009 |
| B | New York Stock Exchange | General Securities Representative   | Approved | 09/29/2009 |
| B | New York Stock Exchange | General Securities Principal        | Approved | 06/26/2010 |
| B | New York Stock Exchange | General Securities Sales Supervisor | Approved | 10/01/2018 |
| B | Alabama                 | Agent                               | Approved | 02/11/2010 |
| B | Alaska                  | Agent                               | Approved | 02/11/2010 |
| B | Arizona                 | Agent                               | Approved | 10/06/2009 |
| B | Arkansas                | Agent                               | Approved | 02/11/2010 |



## Qualifications

|   | Regulator            | Registration | Status   | Date       |
|---|----------------------|--------------|----------|------------|
| B | California           | Agent        | Approved | 09/30/2009 |
| B | Colorado             | Agent        | Approved | 02/11/2010 |
| B | Connecticut          | Agent        | Approved | 02/22/2010 |
| B | Delaware             | Agent        | Approved | 02/12/2010 |
| B | District of Columbia | Agent        | Approved | 03/04/2010 |
| B | Florida              | Agent        | Approved | 10/06/2009 |
| B | Georgia              | Agent        | Approved | 02/11/2010 |
| B | Hawaii               | Agent        | Approved | 10/05/2009 |
| B | Idaho                | Agent        | Approved | 02/11/2010 |
| B | Illinois             | Agent        | Approved | 09/29/2009 |
| B | Indiana              | Agent        | Approved | 09/30/2009 |
| B | Iowa                 | Agent        | Approved | 02/11/2010 |
| B | Kansas               | Agent        | Approved | 02/11/2010 |
| B | Kentucky             | Agent        | Approved | 02/11/2010 |
| B | Louisiana            | Agent        | Approved | 02/17/2010 |
| B | Maine                | Agent        | Approved | 02/11/2010 |
| B | Maryland             | Agent        | Approved | 10/01/2009 |
| B | Massachusetts        | Agent        | Approved | 02/11/2010 |
| B | Michigan             | Agent        | Approved | 10/26/2009 |



## Qualifications

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | Minnesota      | Agent                             | Approved | 10/01/2009 |
| B  | Mississippi    | Agent                             | Approved | 10/02/2009 |
| B  | Missouri       | Agent                             | Approved | 09/29/2009 |
| IA | Missouri       | Investment Adviser Representative | Approved | 11/08/2024 |
| B  | Montana        | Agent                             | Approved | 02/11/2010 |
| B  | Nebraska       | Agent                             | Approved | 02/17/2010 |
| B  | Nevada         | Agent                             | Approved | 02/12/2010 |
| B  | New Hampshire  | Agent                             | Approved | 02/11/2010 |
| B  | New Jersey     | Agent                             | Approved | 10/07/2009 |
| B  | New Mexico     | Agent                             | Approved | 02/10/2010 |
| B  | New York       | Agent                             | Approved | 10/05/2009 |
| B  | North Carolina | Agent                             | Approved | 10/13/2009 |
| B  | North Dakota   | Agent                             | Approved | 09/29/2009 |
| B  | Ohio           | Agent                             | Approved | 10/05/2009 |
| B  | Oklahoma       | Agent                             | Approved | 02/19/2010 |
| B  | Oregon         | Agent                             | Approved | 02/10/2010 |
| B  | Pennsylvania   | Agent                             | Approved | 09/30/2009 |
| B  | Puerto Rico    | Agent                             | Approved | 02/11/2010 |
| B  | Rhode Island   | Agent                             | Approved | 02/16/2010 |



## Qualifications

| Regulator               | Registration                      | Status              | Date       |
|-------------------------|-----------------------------------|---------------------|------------|
| <b>B</b> South Carolina | Agent                             | Approved            | 02/11/2010 |
| <b>B</b> South Dakota   | Agent                             | Approved            | 02/11/2010 |
| <b>B</b> Tennessee      | Agent                             | Approved            | 10/08/2009 |
| <b>B</b> Texas          | Agent                             | Approved            | 11/16/2009 |
| <b>IA</b> Texas         | Investment Adviser Representative | Restricted Approval | 01/27/2025 |
| <b>B</b> Utah           | Agent                             | Approved            | 02/11/2010 |
| <b>B</b> Vermont        | Agent                             | Approved            | 02/16/2010 |
| <b>B</b> Virgin Islands | Agent                             | Approved            | 02/11/2010 |
| <b>B</b> Virginia       | Agent                             | Approved            | 02/11/2010 |
| <b>B</b> Washington     | Agent                             | Approved            | 09/29/2009 |
| <b>B</b> West Virginia  | Agent                             | Approved            | 02/17/2010 |
| <b>B</b> Wisconsin      | Agent                             | Approved            | 10/05/2009 |
| <b>B</b> Wyoming        | Agent                             | Approved            | 02/10/2010 |

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
501 N. BROADWAY  
ST. LOUIS, MO 63102

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
6575 SEVILLE DRIVE  
CANFIELD, OH 44406

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
6301 WATERFORD BOULEVARD

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
7030 POINTE INVERNESS WAY  
SUITE 310  
FORT WAYNE, IN 46804

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
FOUR CHASEWOOD, 20329 STATE HIGHWAY 249  
SUITE 150  
HOUSTON, TX 77070



## Qualifications

OKLAHOMA CITY, OK 73118

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
320 WEST EAGLE DRIVE  
SUITE 101  
DENTON, TX 76201

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
100 S. BROADWAY  
2ND FLOOR POB 448  
SALEM, OH 44460

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
5833 SW 29TH STREET  
TOPEKA, KS 66614

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
415 N. FRANKLIN  
DECATUR, IL 62523

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
44 COOK STREET  
SUITE 450  
DENVER, CO 80206

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
27476 DETROIT ROAD  
WESTLAKE, OH 44145

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3951 CONVENIENCE CIRCLE NW  
SUITE 200  
CANTON, OH 44718

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1170 WALL STREET  
JACKSONVILLE, IL 62650

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1935 EAST BATTLEFIELD RD  
SUITE C  
SPRINGFIELD, MO 65804

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3600 EMBASSY PARKWAY  
SUITE 200  
FAIRLAWN, OH 44333

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
500 NORTH SHORELINE  
SUITE 603

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
805 LAS CIMAS PARKWAY  
SUITE 230  
AUSTIN, TX 78746

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
4449 EASTON WAY  
SUITE 120  
COLUMBUS, OH 43219

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1806 OAK RIDGE CIRCLE  
POB 8860  
SAINT JOSEPH, MO 64508

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2100 SOUTH UTICA AVENUE  
SUITE 100  
TULSA, OK 74114

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
40 CORPORATE WOODS BUILDING  
9401 INDIAN CREEK PARKWAY, SUITE 1100  
OVERLAND PARK, KS 66210

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
Leighton Plaza, 130 South Main Street  
Suite 110  
SOUTH BEND, IN 46601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3654 ALLENTOWN ROAD  
LIMA, OH 45807

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
800 MAIN STREET  
SUITE 400  
ANDERSON, IN 46016

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2525 KELL BOULEVARD  
SUITE 310  
WICHITA FALLS, TX 76308

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
600 EAST 96TH STREET, SUITE 575  
INDIANAPOLIS, IN 46240

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2015 CLUBHOUSE DRIVE  
SUITE 202  
GREELEY, CO 80634



## Qualifications

CORPUS CHRISTI, TX 78401

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
9999 CARVER ROAD  
BLUE ASH, OH 45242

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1101 MT. VERNON AVE.  
MARION, OH 43302

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2002 JUDSON ROAD  
SUITE 202  
LONGVIEW, TX 75605

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
10050 INNOVATION DRIVE  
SUITE 340  
MIAMISBURG, OH 45342

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2520 S. GRAND AVE.  
SUITE 210  
GLENWOOD SPRINGS, CO 81601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
119 WEST FIFTH STREET  
PUEBLO, CO 81003-3161

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
6312 S FIDDLERS GREEN CIRCLE  
SUITE 520E  
GREENWOOD VILLAGE, CO 80111

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
10550 BROADWAY  
CROWN POINT, IN 46307

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
501 CHERRY STREET SUITE 101  
COLUMBIA, MO 65201

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2850 NORTH HARWOOD  
18TH FLOOR & 17TH FLOOR  
DALLAS, TX 75201

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
38 EAST MAIN STREET  
MYSTIC, CT 06355

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3685 STUTZ DRIVE-SUITE 201  
CANFIELD, OH 44406

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
600 NORTH HURSTBOURNE PARKWAY  
SUITE 100  
LOUISVILLE, KY 40222

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
4664 HILLS AND DALES ROAD NW  
CANTON, OH 44708

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
4643 SOUTH ULSTER  
DENVER, CO 80237

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
200 NIBCO PARKWAY  
SUITE 300  
ELKHART, IN 46516

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
6636 LONGSHORE STREET  
SUITE 280  
DUBLIN, OH 43017

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
30050 CHAGRIN BLVD  
SUITE 300  
PEPPER PIKE, OH 44124

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1200 WEST HIGHWAY 6  
SUITE 3  
WACO, TX 76712

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
109 EAST MAIN STREET, SUITE 308  
LANCASTER, OH 43130

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
8900 KEYSTONE CROSSING  
SUITE 300  
INDIANAPOLIS, IN 46240

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3908 NW ELM AVENUE  
Lawton, OK 73505

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1776 I STREET  
WASHINGTON, DC 20006





## Qualifications

1699 KING STREET  
SUITE 401  
ENFIELD, CT 06082

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
122 STATE STREET, FIRST FLOOR  
BINGHAMTON, NY 13901

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
400 BROADHOLLOW ROAD  
SUITE 401  
MELVILLE, NY 11747

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2000 OXFORD DRIVE, SUITE 605  
BETHEL PARK, PA 15102

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
ONE NEW HAMPSHIRE AVENUE  
SUITE 112  
PORTSMOUTH, NH 03801

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
MILLENNIUM ONE, 20 ASH STREET  
CONSHOHOCKEN, PA 19428

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
433 HACKENSACK AVENUE  
8TH FLOOR  
HACKENSACK, NJ 07601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
107 SPRING STREET, SUITE 100  
RAMSEY, NJ 07446

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1095 AVENUE OF THE AMERICAS  
3RD & 4TH FLOORS  
NEW YORK, NY 10036

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
36 JORDAN STREET  
SUITE 2  
SKANEATELES, NY 13152

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
4 WEST RED OAK LANE, SUITE 101  
WHITE PLAINS, NY 10604

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
670 NORTH RIVER STREET  
SUITE 400  
WILKES-BARRE, PA 18705

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
357 BRUSSELS STREET  
ST. MARY'S, PA 15857

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1284 LIBERTY STREET  
POB 1060  
FRANKLIN, PA 16323

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
274 THIRD STREET  
BEAVER, PA 15009

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1570 FRUITVILLE PIKE  
LANCASTER, PA 17601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1225 FRANKLIN AVENUE  
SUITE 150  
GARDEN CITY, NY 11530

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
2321 WHITNEY AVENUE  
SUITE 106  
HAMDEN, CT 06518

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
1001 LIBERTY AVENUE  
SUITE 1100  
PITTSBURGH, PA 15222

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
180 CHARLOTTE DRIVE  
SUITE 100  
ALTOONA, PA 16601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
276 NEWPORT ROAD  
SUITE 104  
NEW LONDON, NH 03257

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
18 MAIN STREET EXTENSION  
SUITE 303  
PLYMOUTH, MA 02360

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
3701 CORPORATE PARKWAY  
SUITE 110  
CENTER VALLEY, PA 18034

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
647 DEPOT STREET  
MANCHESTER CENTER, VT 05255



## Qualifications

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

20 Custom House Street  
Boston, MA 02110

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

15 COMMERCE BLVD.  
275 RT 10 EAST, SUITE #209  
SUCCASUNNA, NJ 07876

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1040 BROAD STREET  
SUITE 301  
SHREWSBURY, NJ 07702

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

125 HIGH STREET  
BOSTON, MA 02110

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1393 VETERANS MEMORIAL HIGHWAY  
SUITE N214  
HAUPPAUGE, NY 11788

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

595 S 60th STREET  
SUITE 260  
WEST DES MOINES, IA 50266

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

4001 KENNETT PIKE  
SUITE 220  
GREENVILLE, DE 19807

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

6303 COWBOYS WAY  
FRISCO, TX 75034

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

221 EAST FOURTH STREET  
CINCINNATI, OH 45202

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

550 RESERVE STREET  
SOUTHLAKE, TX 76092

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

500 CHESTNUT STREET  
SUITE 1300  
ABILENE, TX 79602

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

18 DIVISION STREET  
SUITE 209 & 211A  
SARATOGA SPRINGS, NY 12866

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

17 WEST STREEET  
GOSHEN, NY 10924

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

126 MATHEWS STREET  
SUITE 2100  
GREENSBURG, PA 15601

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

790 TOWNSHIP LINE ROAD  
SUITE 175  
YARDLEY, PA 19067

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

305 MADISON AVENUE  
MORRISTOWN, NJ 07960

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

300 THROCKMORTON STREET  
SUITE 1400  
FORT WORTH, TX 76102

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

FIREFLY PROFESSIONAL BLDG., 105 ROUTE 137  
UNIT A  
EAST HARWICH, MA 02645

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

2245 TEXAS DRIVE  
BUILDING A-2, SUITE 290  
SUGAR LAND, TX 77479

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1300 POST OAK BLVD.  
SUITES 1550 & 1540  
HOUSTON, TX 77056

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

4622 PENNSYLVANIA AVENUE  
SUITE 1210, C  
KANSAS CITY, MO 64112

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

4300 N. 10TH STREET  
SUITE A  
McAllen, TX 78504

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

2333 Ponce DeLeon Boulevard  
SUITE 900  
Coral Gables, FL 33134

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1407 EISENHOWER BLVD.  
RICHLAND SQ. II SUITE 101  
JOHNSTOWN, PA 15904



## Qualifications

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1389 CENTER DRIVE  
SUITE 250  
PARK CITY, UT 84098

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

1131 FAIRVIEW AVE  
BOWLING GREEN, KY 42103

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

NAPLES, FL

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

65 N. Main Street  
Suite 1-B  
Rutland, VT 05701

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

804 MAIN STREET  
SUITE B  
OSTERVILLE, MA 02655

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Cranfills Gap, TX

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

8 WRIGHT STREET  
Suite 204  
WESTPORT, CT 06880

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

3000 E. MORGAN AVE  
SUITE A  
EVANSVILLE, IN 47711

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

821 E SE LOOP 323  
SUITE 400  
TYLER, TX 75701

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Greensboro, GA

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**

6310 DELAWARE STREET  
BEAUMONT, TX 77706



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

|                                                                                   | Exam                                                                   | Category  | Date       |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|-----------|------------|
|  | General Securities Principal Examination (S24)                         | Series 24 | 03/31/2006 |
|  | General Securities Sales Supervisor - Options Module Examination (S9)  | Series 9  | 02/16/2001 |
|  | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 12/15/2000 |

#### General Industry/Product Exams

|                                                                                     | Exam                                               | Category | Date       |
|-------------------------------------------------------------------------------------|----------------------------------------------------|----------|------------|
|  | Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
|  | National Commodity Futures Examination (S3)        | Series 3 | 10/13/2006 |
|  | General Securities Representative Examination (S7) | Series 7 | 08/16/1999 |

#### State Securities Law Exams

|                                                                                    | Exam                                                                                                                                     | Category  | Date       |
|------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|
|  |  Uniform Combined State Law Examination (S66)         | Series 66 | 06/09/2003 |
|                                                                                    |  Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/26/1999 |

### 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 |
|-----------|-------------------------|---------------------------------------|------------|-----------------|
| <b>B</b>  | 01/01/2008 - 10/02/2009 | WELLS FARGO ADVISORS, LLC             | CRD# 19616 | ST. LOUIS, MO   |
| <b>B</b>  | 04/29/2005 - 01/03/2008 | A. G. EDWARDS & SONS, INC.            | CRD# 4     | ST. LOUIS, MO   |
| <b>IA</b> | 06/16/2003 - 04/06/2005 | TD WATERHOUSE INVESTOR SERVICES, INC. | CRD# 7870  | ST. LOUIS, MO   |
| <b>B</b>  | 02/04/2000 - 04/06/2005 | TD WATERHOUSE INVESTOR SERVICES, INC. | CRD# 7870  | OMAHA, NE       |

### 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            |
|-------------------|----------------------------------|-----------------------------|--------------------|------------------------------|
| 09/2015 - Present | KEEFE, BRUYETTE & WOODS, INC.    | CENTRAL SUPERVISION MANAGER | Y                  | ST. LOUIS, MO, United States |
| 10/2009 - Present | STIFEL INDEPENDENT ADVISORS, LLC | CENTRAL SUPERVISION MANAGER | Y                  | ST. LOUIS, MO, United States |
| 09/2009 - Present | STIFEL NICOLAUS & CO INC         | CENTRAL SUPERVISION MANAGER | 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.

No information reported.



## 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 |
|----------|-------|
| Criminal | 1     |

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

|                             |                                                                                                                                                                                                                               |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>    | Individual                                                                                                                                                                                                                    |
| <b>Court Details:</b>       | SHERIFFS OFFICE, COLUMBIA, MISSOURI.                                                                                                                                                                                          |
| <b>Charge Date:</b>         | 04/21/1995                                                                                                                                                                                                                    |
| <b>Charge Details:</b>      | STEALING; MISDEMEANOR                                                                                                                                                                                                         |
| <b>Felony?</b>              | No                                                                                                                                                                                                                            |
| <b>Current Status:</b>      | Final                                                                                                                                                                                                                         |
| <b>Status Date:</b>         | 04/27/1995                                                                                                                                                                                                                    |
| <b>Disposition Details:</b> | SENTENCE - SUSPENDED IMP SENTENCE, PROBATION 2 YEARS, SIS COMPLETED.                                                                                                                                                          |
| <b>Broker Statement</b>     | IN APRIL OF 1995, WE TOOK PROPERTY FROM A COLUMBIA, MISSOURI BUSINESS AND RETURNED IT LATER THAT NIGHT. THE NEXT MORNING THEY PRESSED CHARGES AND I HAD A SUSPENDED IMP OF SENTENCE AND 2 YEARS PROBATION, WHICH I COMPLETED. |





## End of Report

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