



IAPD Report

DANIEL JAMES MCMILLAN

CRD# 3232021

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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

DANIEL JAMES MCMILLAN (CRD# 3232021)

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 **12/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/27/2013
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/27/2013

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **20** 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	MORGAN STANLEY	149777	BREA, CA	06/01/2009 - 09/05/2013
IA	MORGAN STANLEY	149777	BREA, CA	06/01/2009 - 09/05/2013
B	CITIGROUP GLOBAL MARKETS INC.	7059	WHITTIER, CA	08/08/2008 - 06/01/2009

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?

No



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 **20** jurisdiction(s) and 6 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	08/27/2013
B	FINRA	General Securities Representative	Approved	08/27/2013
B	FINRA	General Securities Sales Supervisor	Approved	08/27/2013
B	NYSE American LLC	General Securities Representative	Approved	08/27/2013
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/27/2013
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/27/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	08/27/2013
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/27/2013
B	New York Stock Exchange	General Securities Representative	Approved	08/27/2013
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	01/17/2017
B	California	Agent	Approved	08/27/2013



Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	08/27/2013
B	Connecticut	Agent	Approved	10/30/2024
B	Florida	Agent	Approved	05/21/2015
B	Georgia	Agent	Approved	05/04/2021
B	Hawaii	Agent	Approved	06/02/2023
B	Idaho	Agent	Approved	04/12/2021
B	Maryland	Agent	Approved	01/03/2020
B	Massachusetts	Agent	Approved	05/07/2021
B	Michigan	Agent	Approved	11/07/2022
B	Montana	Agent	Approved	10/19/2020
B	Nevada	Agent	Approved	08/27/2013
B	New Mexico	Agent	Approved	01/24/2022
B	New York	Agent	Approved	06/02/2023
B	Oklahoma	Agent	Approved	05/12/2021
B	Oregon	Agent	Approved	09/21/2017
B	Tennessee	Agent	Approved	02/04/2022
B	Texas	Agent	Approved	08/27/2013
IA	Texas	Investment Adviser Representative	Approved	08/27/2013
B	Virginia	Agent	Approved	01/04/2022



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	09/03/2013

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED

GATEWAY PLAZA, 300 NORTH LAKE AVENUE

SUITE 900

PASADENA, CA 91101





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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/28/2012
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/20/2012

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	08/12/1999
	General Securities Representative Examination (S7)	Series 7	07/07/1999

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	07/23/1999

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
B	06/01/2009 - 09/05/2013	MORGAN STANLEY	CRD# 149777	BREA, CA
IA	06/01/2009 - 09/05/2013	MORGAN STANLEY	CRD# 149777	BREA, CA
B	08/08/2008 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WHITTIER, CA
IA	08/08/2008 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WHITTIER, CA
B	04/12/2002 - 08/22/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	LONG BEACH, CA
IA	04/12/2002 - 08/22/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	LONG BEACH, CA
B	07/08/1999 - 04/22/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
08/2013 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	PASADENA, CA, 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. SANTA FE SPRINGS CHAMBER; 12016 E TELEGRAPH RD #100 SANTA FE SPRINGS CA 90670; Chamber of Commerce Business Support; PRESIDENT ELECT 2015-2016 PRESIDENT 2016-2017; Provides leadership in Presidents absence; AFFILIATION STARTED 08/22/2013; 15 HOURS PER MONTH; Not DURING SECURITIES TRADING HOURS; not investment related.
2. YMCA;12815 Rose Dr Whittier CA 90601; Community Organization;Board Member; participate on the direction of the YMCA;7/1/2020;4 hr/mo;not during securities trading hours; not investment related.
3. SANTA FE SPRINGS CHAMBER; 12016 E TELEGRAPH RD #100 SANTA FE SPRINGS CA 90670; Chamber of Commerce;Board Member; Participate as a Board Member;7/1/20;4 hr/mo; not during securities trading hours; not investment related.



End of Report

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