



IAPD Report

STEVEN E CROUCH

CRD# 3273557

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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

STEVEN E CROUCH (CRD# 3273557)

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 **04/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/04/2025
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/05/2025

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **28** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	B. RILEY WEALTH ADVISORS, INC.	115927	Warrenton, VA	08/08/2022 - 04/07/2025
B	B. RILEY WEALTH MANAGEMENT	2543	Warrenton, VA	07/27/2021 - 04/04/2025
IA	B RILEY WEALTH MANAGEMENT	2543	Warrenton, VA	07/27/2021 - 12/31/2022

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
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 **28** 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	04/04/2025
B FINRA	General Securities Representative	Approved	04/04/2025
B FINRA	General Securities Sales Supervisor	Approved	04/04/2025
B NYSE American LLC	General Securities Representative	Approved	04/04/2025
B NYSE American LLC	General Securities Sales Supervisor	Approved	04/04/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/04/2025
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/04/2025
B Nasdaq Stock Market	General Securities Representative	Approved	04/04/2025
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/04/2025
B New York Stock Exchange	General Securities Representative	Approved	04/04/2025
B New York Stock Exchange	General Securities Sales Supervisor	Approved	04/04/2025
B Alabama	Agent	Approved	04/04/2025
B Arizona	Agent	Approved	04/04/2025



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	04/11/2025
B California	Agent	Approved	04/04/2025
B Colorado	Agent	Approved	04/04/2025
B Connecticut	Agent	Approved	04/04/2025
B Florida	Agent	Approved	04/07/2025
B Georgia	Agent	Approved	04/04/2025
B Maine	Agent	Approved	04/04/2025
B Maryland	Agent	Approved	04/04/2025
B Massachusetts	Agent	Approved	04/04/2025
B Michigan	Agent	Approved	04/04/2025
B Missouri	Agent	Approved	04/04/2025
B New Jersey	Agent	Approved	10/02/2025
B New Mexico	Agent	Approved	04/04/2025
B New York	Agent	Approved	12/18/2025
B North Carolina	Agent	Approved	04/04/2025
B Ohio	Agent	Approved	04/04/2025
B Oregon	Agent	Approved	04/04/2025
B Pennsylvania	Agent	Approved	04/04/2025
B South Carolina	Agent	Approved	04/04/2025



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	04/04/2025
B Texas	Agent	Approved	04/04/2025
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2025
B Utah	Agent	Approved	04/07/2025
B Vermont	Agent	Approved	04/04/2025
B Virginia	Agent	Approved	04/04/2025
IA Virginia	Investment Adviser Representative	Approved	04/07/2025
B Washington	Agent	Approved	04/04/2025
B West Virginia	Agent	Approved	04/04/2025

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
550 Broadview Avenue
Suite 201
Warrenton, VA 20186





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, 2 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	12/20/2002
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/04/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/15/1999

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/27/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1999

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	08/08/2022 - 04/07/2025	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Warrenton, VA
B	07/27/2021 - 04/04/2025	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Warrenton, VA
IA	07/27/2021 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Warrenton, VA
IA	02/17/2021 - 07/27/2021	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	ATLANTA, GA
B	02/17/2021 - 07/27/2021	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	WARRENTON, VA
IA	01/02/2013 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	11/16/2012 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	02/29/2012 - 01/02/2013	SCOTT & STRINGFELLOW, LLC	CRD# 6255	WARRENTON, VA
B	11/16/1999 - 01/02/2013	SCOTT & STRINGFELLOW, LLC	CRD# 6255	WARRENTON, VA

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
04/2025 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	BRANCH MANAGER	Y	Warrenton, VA, United States
07/2022 - 04/2025	B. RILEY WEALTH ADVISORS, INC.	Financial Advisor	Y	Memphis, TN, United States
07/2021 - 04/2025	B. Riley Wealth Management	Financial Advisor	Y	Memphis, TN, United States
02/2021 - 07/2021	TRUIST ADVISORY SERVICES, INC.	Mass Transfer	Y	ATLANTA, GA, United States
02/2021 - 07/2021	TRUIST INVESTMENT SERVICES, INC.	Mass Transfer	Y	WARRENTON, VA, United States
01/2013 - 02/2021	BB&T SECURITIES, LLC	Mass Transfer	Y	WARRENTON, VA, United States



Registration & Employment History



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.

**Alice Johnson Meadows Trust; Investment related; 560 Broadview Avenue, Suite 100, Warrenton VA 20186; With the help of the commissioner of accounts I disburse funds from the Trust to Alice or on her behalf; Trustee; 15 hrs/month devoted 4 during securities trading hrs.

1. ABC & J LLC; 388 Waterloo St Warrenton VA 20186; Rental Property; Partnership owns a shopping center and collects rents and upkeeps property; I am the bookkeeper. I watch spending, collect rents and pay administrative bills(water, power, and taxes); 06/01/2012; 8.00hrs/month; Not during securities trading hours; Investment-Related

2. Fauquier Community Coalition; 41 W Lee Highway Warrenton VA 20186; Serve the poor in Fauquier county through providing firewood, car repair, home repair and various immediate help services; Treasurer; Review spending by workers. Pay administrative bills. Compile a Treasurers report monthly; 01/07/2016; 2.00hrs/month; Not during securities trading hours; Investment-Related

3. Rental Property; 6308 Lee Hwy Access Rd Warrenton, VA 20187; Owner; Collect rent and provide maintenance; 11/15/2024; 1 hr/month; Not during securities trading hours; Investment-Related

4. Rental Property; 411 Denning Ct Warrenton, VA 20186; Owner; Collect rent and provide maintenance; 08/18/2021; 1 hr/month; Not during securities trading hours; Investment-Related

5. Rental Property; 435 Ridge Ct Warrenton, VA 20186; Owner; Collect rent and provide maintenance; 03/17/2020; 1 hr/month; Not during securities trading hours; Investment-Related

6. Rental Property; 2220 Forsythia Dr Culpeper, VA 20701; Owner; Collect rent and provide maintenance; 08/28/2020; 1 hr/month; Not during securities trading hours; Investment-Related

7. Rental Property; 1829 Picadilly Circus Culpeper, VA 20701; Owner; Collect rent and provide maintenance; 05/20/2022; 1 hr/month; Not during securities trading hours; Investment-Related

8. Rental Property; 1808 Soho Court Culpeper, VA 20712; Owner; Collect rent and provide maintenance; 03/07/2014; 1 hr/month; Not during securities trading hours; Investment-Related

9. Notary; 6814 Travelers Way Warrenton VA 20187; Notarizing documents; Verify identity, record, and sign; 04/11/2022; 1 hr/month; During security 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
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Criminal	1
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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

Reporting Source:	Individual
Court Details:	VIRGINIA GENERAL DISTRICT COURT (CRIMINAL), MONTGOMERY COUNTY (BLACKSBURG), VIRGINIA, CASE NO. C92-469
Charge Date:	04/05/1992
Charge Details:	MR. CROUCH WAS CHARGED WITH ONE FELONY COUNT. THE CHARGE WAS REDUCED TO PETIT LARCENY, TO WHICH MR. CROUCH PLED GUILTY. THE CHARGE WAS NOT INVESTMENT-RELATED.
Felony?	Yes
Current Status:	Final
Status Date:	09/29/1992
Disposition Details:	MR. CROUCH WAS CONVICTED ON 6/1/1992, SENTENCED TO 60 DAYS IN JAIL WITH 50 DAYS SUSPENDED BEGINNING 6/1/1992 AND FINED \$144.00 WHICH WAS PAID ON 6/1/1992. ADDITIONALLY, MR. CROUCH AGREED TO PAY \$200.00 RESTITUTION TO THE BIKE'S OWNER THAT WAS PAID ON 6/29/1992.
Broker Statement	ON APRIL 3, 1992 WHILE ATTENDING COLLEGE, I WAS ARRESTED FOR STEALING A FELLOW STUDENT'S BICYCLE. ALTHOUGH CHARGED WITH A FELONY, THE COUNT WAS REDUCED TO PETIT LARCENY, A MISDEMEANOR, TO WHICH I PLED GUILTY.



End of Report

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