



IAPD Report

Stasia Ashmala Veramallay

CRD# 4123662

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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

Stasia Ashmala Veramallay (CRD# 4123662)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LEVEL FOUR FINANCIAL, LLC	CRD# 25700	10/17/2022
IA	VISTA INVESTMENT PARTNERS	CRD# 327983	11/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	VISTA INVESTMENT PARTNERS LLC	286014	RICHMOND, IN	01/27/2018 - 11/20/2023
B	CANTELLA & CO., INC.	13905	Richmond, IN	01/02/2018 - 10/26/2022
B	J.P. MORGAN SECURITIES LLC	79	RICHMOND, IN	10/01/2012 - 11/09/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VISTA INVESTMENT PARTNERS**
Main Address: ONE WOODSIDE DRIVE
RICHMOND, IN 47374
Firm ID#: 327983

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	11/01/2023

Branch Office Locations

VISTA INVESTMENT PARTNERS
ONE WOODSIDE DRIVE
RICHMOND, IN 47374

Employment 2 of 2

Firm Name: **LEVEL FOUR FINANCIAL, LLC**
Main Address: 12400 COIT ROAD
SUITE 700
DALLAS, TX 75251
Firm ID#: 25700

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/17/2022
B FINRA	Invest. Co and Variable Contracts	Approved	10/17/2022
B Arizona	Agent	Approved	10/17/2022
B Florida	Agent	Approved	10/17/2022
B Illinois	Agent	Approved	10/17/2022
B Indiana	Agent	Approved	10/17/2022



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	10/17/2022
B Missouri	Agent	Approved	10/17/2022
B North Carolina	Agent	Approved	10/17/2022
B Ohio	Agent	Approved	10/17/2022
B Oklahoma	Agent	Approved	10/17/2022

Branch Office Locations

LEVEL FOUR FINANCIAL, LLC
2519 EAST MAIN STREET
SUITE 203
RICHMOND, IN 47374

LEVEL FOUR FINANCIAL, LLC
1 WOODSIDE DRIVE
RICHMOND, IN 47374



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/12/2011
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/24/2000

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/04/2011
Uniform Securities Agent State Law Examination (S63)	Series 63	04/06/2000

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	01/27/2018 - 11/20/2023	VISTA INVESTMENT PARTNERS LLC	CRD# 286014	RICHMOND, IN
B	01/02/2018 - 10/26/2022	CANTELLA & CO., INC.	CRD# 13905	Richmond, IN
B	10/01/2012 - 11/09/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	RICHMOND, IN
IA	10/01/2012 - 11/09/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	RICHMOND, IN
IA	02/05/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	RICHMOND, IN
B	07/06/2005 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	RICHMOND, IN
B	06/06/2000 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL

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
11/2023 - Present	Vista Investment Partners II, LLC	Investment Adviser Representative	Y	Richmond, IN, United States
10/2022 - Present	Level Four Financial, LLC	Registered Representative	Y	Dallas, TX, United States
01/2018 - 11/2023	VISTA INVESTMENT PARTNERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	OKLAHOMA CITY, OK, United States
01/2018 - 10/2022	CANTELLA & CO., INC.	FINANCIAL ADVISOR	Y	BOSTON, MA, United States
09/2017 - 12/2017	Raymond James	Sales Assistant	Y	Richmond, IN, United States
11/2016 - 09/2017	Unemployed	Unemployed	N	Richmond, IN, United States
10/2012 - 10/2016	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	RICHMOND, IN, 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.

- 1) Vista Investment Partners, II - Registered RIA. Investment Advisor Representative, Management of Client Relationships and Portfolios / 170 Hours Per Month Devoted During Trading Hours/ Started 1/2018. Vista Investment Partners is also the DBA Name for Brokerage Business Conducted through Level Four Financial, LLC., Registered Representative, 20 Hours Per Month Devoted during Trading Hours/ Started 10/2022. Investment Related.
- 2) Insurance sales, Agent, services and sells various lines of non-securities insurance products and fixed annuities, devotes approximately 60 hours per month with 50 being during trading hours/ started 3/2020. Investment related.
- 3) Girl Scouts- Troop leader. Non-Profit, not investment related, approximately 4 hours a month are devoted to this activity outside of trading hours. Start date: 1-26-18
- 4) Indiana University East Chancellors Advisory Board: Board Member. Public University, Not investment related. Talk with Chancellor and other board members about the university needs and accomplishments. About .5 hours monthly devoted during trading hours. Start Date: 01/01/2019
- 5) Richmond Kiwanis Club, Non-Profit Civic Organization, Membership Chair. Supports the community activities of helping youth in the area. Not investment related, Attends club meetings and donates time for service projects. Approximately 4 hours are devoted a month during trading hours. 01/02/2018
- 6) First Presbyterian Church, Session Elder. Trading hours are only affected when I attend church functions happening during holy days
- 7) Richmond Education Association Building Belonging Coalition member, 0 trading hours, 1 hour monthly.
- 8) Trustee Morrison-Reeves Library, Vice President of the Board, No signatory privilege/ access to financial accounts. Started 1/2/2018, Devote approximately 2 hours per month outside of trading hours, 0 trading hours. Contribute opinions regarding projects, not investment related, no custody or control of fund or property
- 9) Wayne County Area Chamber of Commerce, Non-Profit, Serving on the Finance Committees. Meeting twice a year. Approximately 1.5 hour quarterly devoted during trading hours. Start Date: 01/02/2018. The Wayne County Area Chamber of Commerce exists to foster attractive, welcoming community that is rich in enterprise and growing in population and prosperity.
- 10) Girls, Inc., nonprofit organization, non-investment related committee member, Review finances presented by the Board of Directors along with other Committee Members, Start Date: 9/1/2022, Devote approximately 1 hour per month after market hours.
- 11) United Way of Whitewater Valley's Grants Committee Member, started 8/2/2024, Non-Profit Organization, Not investment related, Located in Richmond, IN, Devote 30 minutes of trading hours per month with 1 hour after trading hours.
- 12) Reid Health Foundation, started 1/10/2025, Non-Profit Foundation, Reid Hospital & Reid Health Care Services Foundation, Inc., d.b.a. Reid Health Foundation was incorporated as a 501(c)(3) not-for-profit organization in 1975. Board Member, located at 1100 Reid Parkway, Richmond, IN 47374, devote approximately 1/2 hour per month to this entity during trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. MORGAN SECURITIES LLC
Allegations:	Client alleges misrepresentation regarding variable annuities investment. Activity dates 07/11/2014-07/11/2014.
Product Type:	Annuity-Variable
Alleged Damages:	\$11,082.26
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/09/2015
Complaint Pending?	No
Status:	Settled
Status Date:	01/06/2016
Settlement Amount:	\$12,877.17
Individual Contribution Amount:	\$0.00



End of Report

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