



IAPD Report

JASON NICHOLAS DUKAS

CRD# 4188239

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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

JASON NICHOLAS DUKAS (CRD# 4188239)

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 **05/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/17/2017
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/17/2017

QUALIFICATIONS

This representative is currently registered in **11** 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
B	WELLS FARGO CLEARING SERVICES, LLC	19616	CLEARWATER, FL	08/19/2011 - 07/19/2017
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	CLEARWATER, FL	08/19/2011 - 07/19/2017
B	MORGAN STANLEY SMITH BARNEY	149777	PALM HARBOR, FL	06/01/2009 - 09/06/2011

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

DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	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 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/17/2017
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/07/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/07/2026
B	FINRA	General Securities Representative	Approved	08/17/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	05/07/2026
B	NYSE American LLC	General Securities Representative	Approved	08/17/2017
B	NYSE Texas, Inc.	General Securities Representative	Approved	05/07/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/07/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/17/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	08/17/2017
B	New York Stock Exchange	General Securities Representative	Approved	08/17/2017
B	Arizona	Agent	Approved	09/22/2017
B	California	Agent	Approved	01/30/2026



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	08/17/2017
B	Delaware	Agent	Approved	04/06/2018
B	District of Columbia	Agent	Approved	08/17/2017
B	Florida	Agent	Approved	10/13/2017
IA	Florida	Investment Adviser Representative	Approved	10/13/2017
B	Georgia	Agent	Approved	10/17/2017
B	Indiana	Agent	Approved	08/17/2017
B	Iowa	Agent	Approved	08/17/2017
B	Kentucky	Agent	Approved	02/13/2026
B	Louisiana	Agent	Approved	08/17/2017
B	Michigan	Agent	Approved	04/10/2026
B	Minnesota	Agent	Approved	08/22/2017
B	Missouri	Agent	Approved	02/26/2026
B	Nebraska	Agent	Approved	12/15/2017
B	Nevada	Agent	Approved	02/09/2026
B	New Jersey	Agent	Approved	01/26/2024
B	New Mexico	Agent	Approved	01/29/2020
B	New York	Agent	Approved	08/17/2017
B	North Carolina	Agent	Approved	04/27/2018



Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	08/30/2017
B	Pennsylvania	Agent	Approved	08/17/2017
B	South Carolina	Agent	Approved	08/17/2017
B	Tennessee	Agent	Approved	10/17/2017
B	Texas	Agent	Approved	05/22/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	01/10/2020
B	Virginia	Agent	Approved	02/05/2026
B	Wisconsin	Agent	Approved	08/17/2017
B	Wyoming	Agent	Approved	02/27/2020

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
2605 ENTERPRISE ROAD
SUITE 168
CLEARWATER, FL 33759



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	08/16/2000
B General Securities Representative Examination (S7)	Series 7	07/17/2000

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/13/2001



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	08/19/2011 - 07/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CLEARWATER, FL
IA	08/19/2011 - 07/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CLEARWATER, FL
B	06/01/2009 - 09/06/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PALM HARBOR, FL
IA	06/01/2009 - 09/06/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	PALM HARBOR, FL
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PALM HARBOR, FL
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PALM HARBOR, FL
IA	07/19/2000 - 04/02/2007	MORGAN STANLEY	CRD# 7556	PALM HARBOR, FL
B	07/18/2000 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	PALM HARBOR, FL

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
08/2017 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Clearwater, FL, United States
11/2016 - 08/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CLEARWATER, FL, United States
08/2011 - 11/2016	WELLS FARGO ADVISORS	REGISTERED REPRESENTATIVE	Y	CLEARWATER, FL, 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.

YMCA of Suncoast- (North Pinellas YMCA); 4550 Village Center Drive Palm Harbor FL 34685; Advisory Board Member; Providing ideas and advice for local events...etc; 01/01/2019; 1.00 Hour(s) Per Month; not during securities trading hours; Not Investment-Related



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 05/15/2020

Docket/Case Number: [2017055028101](#)

Employing firm when activity occurred which led to the regulatory action: Wells Fargo Clearing Services, LLC

Product Type: Promissory Note

Allegations: Without admitting or denying the findings, Dukas consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving a customer of his member firm without providing prior written notice to his firm. The findings stated that Dukas participated in an investment by the customer in a start-up motion-analytics company away from the firm. Dukas solicited the transaction by recommending the investment to the customer, arranging for the customer to attend a promotional meeting about the company, and providing advertising materials about the company to the customer. He helped facilitate the transaction by forwarding a promissory note and other investment-related documents to the customer. The customer, who was wealthy and sophisticated, invested in the company by wiring \$1.5 million to the company. The customer has not complained about the investment and Dukas received no compensation.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

05/15/2020

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: nine months
Start Date: 06/01/2020
End Date: 02/28/2021

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$15,000.00
Portion Levied against individual: \$15,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 05/29/2020
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fines paid in full on May 29, 2020.
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Reporting Source: Firm
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 05/15/2020
Docket/Case Number: [2017055028101](#)



Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services, LLC.
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Dukas consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving a customer of his member firm without providing prior written notice to his firm. The findings stated that Dukas participated in an investment by the customer in a start-up motion-analytics company away from the firm. Dukas solicited the transaction by recommending the investment to the customer, arranging for the customer to attend a promotional meeting about the company, and providing advertising materials about the company to the customer. He helped facilitate the transaction by forwarding a promissory note and other investment-related documents to the customer. The customer, who was wealthy and sophisticated, invested in the company by wiring \$1.5 million to the company. The customer has not complained about the investment and Dukas received no compensation.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/15/2020
Sanctions Ordered:	Suspension Other: \$15,000 fine
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	9 months
Start Date:	06/01/2020
End Date:	02/28/2021

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	05/15/2020
Docket/Case Number:	2017055028101



Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services, LLC
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Dukas consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving a customer of his member firm without providing prior written notice to his firm. The findings stated that Dukas participated in an investment by the customer in a start-up motion-analytics company away from the firm. Dukas solicited the transaction by recommending the investment to the customer, arranging for the customer to attend a promotional meeting about the company, and providing advertising materials about the company to the customer. He helped facilitate the transaction by forwarding a promissory note and other investment-related documents to the customer. The customer, who was wealthy and sophisticated, invested in the company by wiring \$1.5 million to the company. The customer has not complained about the investment and Dukas received no compensation.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/15/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	nine months
Start Date:	06/01/2020
End Date:	02/28/2021
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	





Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: Wells Fargo Clearing Services, LLC.

Termination Type: Voluntary Resignation

Termination Date: 06/19/2017

Allegations: The Firm alleged that Dukas' conduct related to a private security conflicted with the firm's policies related to private securities transactions.

Product Type: No Product

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Reporting Source: Individual

Firm Name: Wells Fargo Clearing Services, LLC.

Termination Type: Voluntary Resignation

Termination Date: 06/19/2017

Allegations: The Firm alleged that Dukas' conduct related to a private security conflicted with the firm's policies related to private securities transactions.

Product Type: No Product



End of Report

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