IAPD Report

JOHN BERNARD WRIGHT

CRD# 4480662

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

JOHN BERNARD WRIGHT (CRD# 4480662)

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 **07/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	09/24/2024
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	09/24/2024

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **4** 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	WELLS FARGO ADVISORS	19616	ABILENE, TX	04/30/2020 - 09/30/2024
B	WELLS FARGO CLEARING SERVICES, LLC	19616	ABILENE, TX	04/30/2020 - 09/30/2024
B	MORGAN STANLEY	149777	ABILENE, TX	06/01/2009 - 05/01/2020

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	3

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 **4** 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	09/24/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	07/13/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	07/13/2026
B	FINRA	General Securities Representative	Approved	09/24/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	07/13/2026
B	Investors' Exchange LLC	General Securities Representative	Approved	07/13/2026
B	NYSE American LLC	General Securities Representative	Approved	09/24/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/13/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/24/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	09/24/2024
B	New York Stock Exchange	General Securities Representative	Approved	09/24/2024
B	Alaska	Agent	Approved	10/09/2024

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	10/10/2024
B	Missouri	Agent	Approved	12/08/2025
B	Texas	Agent	Approved	09/24/2024
IA	Texas	Investment Adviser Representative	Approved	09/24/2024

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
500 CHESTNUT STREET
SUITE 1300
ABILENE, TX 79602

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/12/2002

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	12/17/2007
B	General Securities Representative Examination (S7)	Series 7	10/24/2007
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/15/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/2002

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
IA	04/30/2020 - 09/30/2024	WELLS FARGO ADVISORS	CRD# 19616	ABILENE, TX
B	04/30/2020 - 09/30/2024	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ABILENE, TX
B	06/01/2009 - 05/01/2020	MORGAN STANLEY	CRD# 149777	ABILENE, TX
IA	06/01/2009 - 05/01/2020	MORGAN STANLEY	CRD# 149777	ABILENE, TX
IA	11/20/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ABILENE, TX
B	10/26/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ABILENE, TX
B	04/10/2007 - 08/23/2007	NATIONWIDE SECURITIES, INC.	CRD# 11173	ABILENE, TX
B	01/16/2002 - 03/02/2007	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	CORSICANA, TX

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
09/2024 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Financial Advisor	Y	Abilene, TX, United States
04/2020 - 09/2024	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	Abilene, TX, United States
01/2015 - 04/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 04/2020	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	ABILENE, TX, 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. 629 Productions, LLC; 1002 Elmwood Drive Abilene TX 79605; A production company we started for our daughter's modeling, acting, singing, dancing & makeup/hair career; Co-owner with my wife, Rhonda; We are financially supporting our daughter's career; 09/01/2023; 10 hrs/year; Not during securities trading hours; Not Investment-Related
2. The Six29 Collection, LLC; 1002 Elmwood Drive Abilene TX 79605; ST Rental property, 1025 Washington Blvd, Abilene TX 79602; Own the property with my wife Rhonda; None; 09/23/2023; 2 hrs/month; Not during securities trading hours; 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
Criminal	3

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 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Montgomery County Court
Location of Court:	Conroe, Texas
Docket/Case #:	84902
Charge Date:	07/24/1989
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Class B Misdemeanor Theft by Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Pled Guilty
Disposition of charge:	Pled guilty
Date of Amended Charge:	07/26/1989
Charge was Amended or reduced to:	Class C Misdemeanor Theft by Check
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Pled Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final

Status Date:	07/26/1989
Disposition Date:	07/26/1989
Sentence/Penalty:	$50.00 Fine 07/26/1989
Broker Statement	When the fees, court costs, processing fees and restitution were paid, I walked down to the "Hot check" department and paid. I was unaware to I was pleading guilty to a misdemeanor; I never appeared in front of a judge

Disclosure 2 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Montgomery Court of Law
Location of Court:	Conroe, TX
Docket/Case #:	Case 68,335-03
Charge Date:	02/10/1986
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Class B Misdemeanor Theft by Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Pled Guilty
Disposition of charge:	Pled guilty
Date of Amended Charge:	03/04/1986
Charge was Amended or reduced to:	Class C Misdemeanor
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Pled Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	03/04/1986
Disposition Date:	03/04/1986
Sentence/Penalty:	$50.00 Fine 03/04/1986
Broker Statement	Fines, court costs, processing fee and restitution were made, I was unaware that of pleading guilty to a Class C Misdemeanor. I simply walked down the hall to the "Hot Check" department and made payment. I did not appear in court in front of a judge.

Disclosure 3 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Montgomery County Court of Law
Location of Court:	Conroe, TX
Docket/Case #:	Case# 90,481
Charge Date:	04/07/1992
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Class B Misdemeanor Theft by Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Pled Guilty
Disposition of charge:	Pled guilty
Date of Amended Charge:	04/13/1992
Charge was Amended or reduced to:	Reduced to Class C Misdemeanor
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Pled Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	04/13/1992
Disposition Date:	04/13/1992
Sentence/Penalty:	$50.00 04/13/1992
Broker Statement	When the fines, court costs, processing fee and restitution were made, I was unaware of pleading guilty to a misdemeanor. I simply walked down the hall to the "Hot Check" department and made payment. I never appeared in court or in front of a Judge.

End of Report

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