IAPD Report

ROMAN MEYERHANS

CRD# 4587943

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

ROMAN MEYERHANS (CRD# 4587943)

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 **07/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	07/10/2023
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/17/2023

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **17** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	Miami, FL	09/06/2016 - 07/18/2023
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	Miami, FL	09/06/2016 - 07/18/2023
IA	DEUTSCHE BANK SECURITIES INC.	2525	MIAMI, FL	02/04/2014 - 09/06/2016

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
Regulatory Event	2
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 **17** 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	07/10/2023
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/09/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/09/2026
B	FINRA	General Securities Representative	Approved	07/10/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	06/09/2026
B	NYSE American LLC	General Securities Representative	Approved	07/10/2023
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/09/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/09/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/10/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	07/10/2023
B	New York Stock Exchange	General Securities Representative	Approved	07/10/2023
B	California	Agent	Approved	07/10/2023
B	Connecticut	Agent	Approved	10/18/2023

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Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	07/14/2026
B	Florida	Agent	Approved	10/17/2023
IA	Florida	Investment Adviser Representative	Approved	10/17/2023
B	Georgia	Agent	Approved	07/10/2023
B	New Jersey	Agent	Approved	07/10/2023
B	New Mexico	Agent	Approved	01/20/2026
B	New York	Agent	Approved	07/10/2023
B	Pennsylvania	Agent	Approved	10/18/2023
B	Puerto Rico	Agent	Approved	07/10/2023
B	South Carolina	Agent	Approved	07/10/2023
B	South Dakota	Agent	Approved	07/25/2023
B	Texas	Agent	Approved	11/27/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	11/27/2023
B	Utah	Agent	Approved	08/11/2023
B	Virgin Islands	Agent	Approved	07/10/2023
B	Washington	Agent	Approved	07/10/2023
B	Wyoming	Agent	Approved	07/10/2023

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED

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Qualifications

2333 Ponce DeLeon Boulevard
SUITE 900
Coral Gables, FL 33134

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/21/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/18/2004

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.

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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	09/06/2016 - 07/18/2023	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	Miami, FL
IA	09/06/2016 - 07/18/2023	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	Miami, FL
IA	02/04/2014 - 09/06/2016	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	MIAMI, FL
B	01/28/2014 - 09/06/2016	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	MIAMI, FL
IA	01/21/2009 - 02/18/2014	BARCLAYS CAPITAL INC.	CRD# 19714	MIAMI, FL
B	09/22/2008 - 02/18/2014	BARCLAYS CAPITAL INC.	CRD# 19714	MIAMI, FL
IA	11/08/2005 - 10/15/2008	LEHMAN BROTHERS INC.	CRD# 7506	MIAMI, FL
B	10/22/2002 - 09/22/2008	LEHMAN BROTHERS INC.	CRD# 7506	MIAMI, 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
07/2023 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Managing Director/Investments	Y	Miami, FL, United States
09/2016 - 07/2023	RAYMOND JAMES & ASSOCIATES, INC.	Registered Representative	Y	Miami, FL, United States
01/2014 - 09/2016	DEUTSCHE BANK SECURITIES INC	CLIENT ADVISOR	Y	MIAMI, 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.

No information reported.

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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.

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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	2
Customer Dispute	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Other: Registration Agreement
Date Initiated:	10/17/2023
Docket/Case Number:	117020-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Raymond James & Associates, Inc.
Product Type:	No Product
Allegations:	Subject to an order and suspension by FINRA for violating FINRA Rules 4511 and 2010.
Current Status:	Final
Resolution:	Order
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:	10/17/2023

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Sanctions Ordered:	Cease and Desist
Regulator Statement	On October 17, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Roman Meyerhans (Meyerhans). Meyerhans neither admitted nor denied the allegations but consented to the entry of findings by the Office. Meyerhans was subject to an order and suspension by FINRA for violating FINRA Rules 4511 and 2010. Meyerhans agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Office agreed to approve Meyerhans pursuant to a Registration Agreement that will be in effect for a minimum of two years. The Office approved Meyerhans as an associated person of a broker/dealer (AG) and associated person of an investment adviser (RA) with Stifel, Nicolaus & Company, Incorporated effective October 17, 2023.

Reporting Source:	Individual
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Other: Registration Agreement
Date Initiated:	10/17/2023
Docket/Case Number:	117020-SR
Employing firm when activity occurred which led to the regulatory action:	Raymond James & Associates, Inc.
Product Type:	No Product
Allegations:	Subject to an order and suspension by FINRA for violating FINRA Rules 4511 and 2010.
Current Status:	Final
Resolution:	Order
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:	10/17/2023
Sanctions Ordered:	Cease and Desist
Broker Statement	On October 17, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Roman Meyerhans (Meyerhans). Meyerhans neither admitted nor denied the allegations but consented to the entry of findings by the Office. Meyerhans was subject to an order and suspension by FINRA for violating FINRA Rules 4511 and 2010. Meyerhans agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Office agreed to approve Meyerhans pursuant to a Registration Agreement that will be in effect for a minimum of two years. The Office approved Meyerhans as an associated person of a broker/dealer (AG) and associated person of an investment adviser (RA) with Stifel, Nicolaus & Company, Incorporated effective October 17, 2023.

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Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	03/28/2023
Docket/Case Number:	2021069375301
Employing firm when activity occurred which led to the regulatory action:	Raymond James & Associates, Inc.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Meyerhans consented to the sanctions and to the entry of findings that he caused his member firm to maintain incomplete books and records by using an instant messaging application to communicate with firm customers regarding securities-related business. The findings stated that the instant messaging application was not an approved electronic communications channel, so the firm did not capture or maintain Meyerhans' instant messaging application communications. After discovering Meyerhans' use of the instant messaging application to communicate with firm customers, the firm issued a Letter of Education reminding him of the firm's prohibition against using unapproved electronic messaging platforms. Although Meyerhans acknowledged that he had read, understood, and agreed to comply with the terms of the Letter of Education (including the firm's electronic communications policies), he continued for another 19 months to use the instant messaging application to communicate with firm customers regarding securities-related business.
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:	03/28/2023
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

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(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:	30 Days
Start Date:	04/17/2023

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End Date:	05/16/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/06/2023
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	03/28/2023
Docket/Case Number:	2021069375301
Employing firm when activity occurred which led to the regulatory action:	Raymond James & Associates, Inc.
Product Type:	No Product
Allegations:	Individual alleged to have violated FINRA Rules 4511 and 2010 by using text messaging platform that was not approved by his firm for business purposes.
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:	03/28/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	30 Days
Start Date:	04/17/2023

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End Date:	05/16/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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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:	Firm
Employing firm when activities occurred which led to the complaint:	Deutsche Bank Securities Inc.
Allegations:	Claimants allege Mr. Meyerhans made unsuitable investment recommendations, unnecessarily encouraged margin use, incorrectly marked trades as "unsolicited," improperly used What'sApp to communicate with Claimants, failed to accurately disclose the risks of Claimants' investments, and placed his interest above those of Claimants to maximize commissions and fees. Alleged Activity Dates: 10/21/15 - 12/31/20.
Product Type:	Other: Debt-Foreign
Alleged Damages:	$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00046
Filing date of arbitration/CFTC reparation or civil litigation:	01/08/2021

Customer Complaint Information

Date Complaint Received:	02/05/2021
Complaint Pending?	No
Status:	Settled
Status Date:	09/20/2021
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Claimants allege FA made unsuitable investment recommendations, unnecessarily

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	encouraged margin use, incorrectly marked trades as "unsolicited," improperly used What'sApp to communicate with Claimants, failed to accurately disclose the risks of Claimants' investments, and placed his interest above those of Claimants to maximize commissions and fees. Alleged Activity Dates: 10/21/15 - 12/31/20.
Product Type:	Other: Debt - Foreign
Alleged Damages:	$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - New York
Docket/Case #:	21-00046
Filing date of arbitration/CFTC reparation or civil litigation:	01/08/2021

Customer Complaint Information

Date Complaint Received:	01/22/2021
Complaint Pending?	No
Status:	Settled
Status Date:	09/16/2021
Settlement Amount:	$92,500.00
Individual Contribution Amount:	$0.00

End of Report

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