



## IAPD Report

**DAVID LLOYD ALLRED**

CRD# 4963746

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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

### DAVID LLOYD ALLRED (CRD# 4963746)

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 **07/08/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FISHER\SMB	CRD# 331205	07/08/2024

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	FISHER INVESTMENTS	107342	South Jordan, UT	03/08/2021 - 07/03/2024
B	CHARLES SCHWAB & CO., INC.	5393	Germantown, TN	02/15/2019 - 09/15/2020
IA	CHARLES SCHWAB & CO., INC.	5393	Germantown, TN	02/15/2019 - 09/15/2020

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?

**No**



## 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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **FISHER\SMB**  
Main Address: 6404 INTERNATIONAL PARKWAY  
SUITE 1100  
PLANO, TX 75093  
Firm ID#: 331205

	Regulator	Registration	Status	Date
	Utah	Investment Adviser Representative	Approved	07/08/2024

### Branch Office Locations

**FISHER\SMB**  
SOUTH JORDAN, UT



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

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/01/2024
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/01/2024
B	General Securities Principal Examination (S24)	Series 24	11/01/2011

#### General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	03/01/2024
B	Securities Industry Essentials Examination (SIE)	SIE	04/30/2018
B	Futures Managed Funds Examination (S31)	Series 31	09/26/2008
B	General Securities Representative Examination (S7)	Series 7	08/12/2005

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/24/2006



### 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	03/08/2021 - 07/03/2024	FISHER INVESTMENTS	CRD# 107342	South Jordan, UT
B	02/15/2019 - 09/15/2020	CHARLES SCHWAB & CO., INC.	CRD# 5393	Germantown, TN
IA	02/15/2019 - 09/15/2020	CHARLES SCHWAB & CO., INC.	CRD# 5393	Germantown, TN
IA	10/28/2009 - 04/30/2018	E*TRADE CAPITAL MANAGEMENT, LLC	CRD# 42159	SANDY, UT
B	07/27/2009 - 04/30/2018	E*TRADE SECURITIES LLC	CRD# 29106	SANDY, UT
B	04/02/2007 - 01/20/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SOUTH JORDAN, UT
IA	04/02/2007 - 01/20/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SOUTH JORDAN, UT
IA	02/28/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	WEST VALLEY, UT
B	02/17/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	WEST VALLEY, UT
B	08/15/2005 - 09/14/2005	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SMITHFIELD, RI

### 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
07/2024 - Present	FISHER RETIREMENT SOLUTIONS LLC	ASSOCIATE VICE PRESIDENT RETIREMENT PLAN CONSULTING	Y	SOUTH JORDAN, UT, United States
08/2020 - 07/2024	FISHER INVESTMENTS	REGIONAL MANAGER	Y	PLANO, TX, United States
01/2019 - 08/2020	Charles Schwab & Co., Inc.	Vice President - Branch Manager	Y	Germantown, TN, United States
01/2019 - 08/2020	Charles Schwab Bank	Dual Employee	Y	Germantown, TN, United States
08/2017 - 01/2019	Shadow Run Holdings, LLC	Owner	N	Sandy, UT, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2015 - 04/2018	E*TRADE CAPITAL MANAGEMENT LLC	BRANCH MANAGER NATIONAL BRANCH	Y	SANDY, UT, 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.

Name of business: Allred Legacy Investment

Investment related: No

Address: 1037 W River Pass CV

Nature of business: Investment property company co-owned with spouse

Position: director

Start date: 1/2/23 - 9/30/29

Approx. # of hours/month: 1 monthly

Approx. # of hours during securities trading hours: 0

Description: investment property and property management business



## End of Report

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