



## IAPD Report

### ALLAN MATTISON TUCKER JR

CRD# 501512

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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

### ALLAN MATTISON TUCKER JR (CRD# 501512)

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 **03/14/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STEPHENS	CRD# 3496	01/01/1997
<b>IA</b>	STEPHENS	CRD# 3496	08/05/1999

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **24** 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>B</b>	CREWS & ASSOCIATES, INC.	8052	LITTLE ROCK, AR	12/06/1989 - 12/20/1996
<b>B</b>	BOWMAN & COMPANY INCORPORATED	15983	LITTLE ROCK, AR	08/01/1988 - 10/24/1988
<b>B</b>	POWELL & SATTERFIELD, INC.	7030	LITTLE ROCK, AR	02/10/1976 - 08/30/1988

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
Customer Dispute	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 24 jurisdiction(s) and 4 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **STEPHEN'S**

Main Address: 111 CENTER ST  
LITTLE ROCK, AR 72201

Firm ID#: 3496

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	01/02/1997
<b>B</b> FINRA	General Securities Representative	Approved	01/02/1997
<b>B</b> NYSE American LLC	General Securities Principal	Approved	03/21/2011
<b>B</b> NYSE American LLC	General Securities Representative	Approved	03/21/2011
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	01/02/1997
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	06/26/2010
<b>B</b> Alabama	Agent	Approved	06/05/2009
<b>B</b> Arizona	Agent	Approved	01/03/1997
<b>B</b> Arkansas	Agent	Approved	01/06/1997
<b>IA</b> Arkansas	Investment Adviser Representative	Approved	08/05/1999
<b>B</b> California	Agent	Approved	10/25/2022



## Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	04/27/2009
B Florida	Agent	Approved	01/27/1997
B Georgia	Agent	Approved	01/24/1997
B Illinois	Agent	Approved	10/22/2019
B Kansas	Agent	Approved	01/06/1997
B Kentucky	Agent	Approved	03/27/2017
B Louisiana	Agent	Approved	01/28/1997
B Maine	Agent	Approved	07/19/2004
B Minnesota	Agent	Approved	04/12/2005
B Mississippi	Agent	Approved	06/27/2003
B Missouri	Agent	Approved	01/10/1997
B Ohio	Agent	Approved	07/22/2004
B Oklahoma	Agent	Approved	02/21/2003
B Pennsylvania	Agent	Approved	09/06/2005
B Rhode Island	Agent	Approved	12/16/2014
B South Carolina	Agent	Approved	09/23/1999
B Tennessee	Agent	Approved	03/13/1997
B Texas	Agent	Approved	01/02/1997
IA Texas	Investment Adviser Representative	Restricted Approval	04/16/2014



## Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	06/19/2007
B Virginia	Agent	Approved	07/27/2020

## Branch Office Locations

### STEPHENS

111 CENTER STREET  
LITTLE ROCK, AR 72201



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/03/1983

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/21/1979

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/12/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/1989

### 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
	12/06/1989 - 12/20/1996	CREWS & ASSOCIATES, INC.	CRD# 8052	LITTLE ROCK, AR
	08/01/1988 - 10/24/1988	BOWMAN & COMPANY INCORPORATED	CRD# 15983	
	02/10/1976 - 08/30/1988	POWELL & SATTERFIELD, INC.	CRD# 7030	

### 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
06/2022 - Present	STEPHENS INC.	SENIOR VICE PRESIDENT	Y	LITTLE ROCK, AR, United States
12/1996 - 06/2022	STEPHENS INC.	SVP/SR FINANCIAL CONSULTANT	Y	LITTLE ROCK, AR, 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.



## 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
Customer Dispute	3

### 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:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/09/1989

**Docket/Case Number:** C05890002

**Employing firm when activity occurred which led to the regulatory action:** POWELL & SATTERFIELD, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 02/20/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

[TOP] COMPLAINT NO. NEW-713 FILED 8/9/89 BY DISTRICT NO. 5 AGAINST RESPONDENTS POWELL & SATTERFIELD, INC., ALLAN M. TUCKER, JR. AND OTHERS ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 18, 21 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER ACTING THROUGH RESPONDENT TUCKER EFFECTED TRANSACTIONS IN GOVERNMENT ACCOUNTS THAT WERE PART OF A REPURCHASE AGREEMENT WITH CUSTOMERS AT PRICES THAT WERE NOT REASONABLY RELATED TO THE CURRENT MARKET PRICE; FAILED TO RECORD AGREEMENTS ON THE FIRM'S BOOKS AND RECORDS; FAILED TO INCLUDE THE REPURCHASE AGREEMENT DEFICIT IN THE FIRM'S MONTHLY NET CAPITAL COMPUTATIONS; SENT FALSE AND MISLEADING CONFIRMATIONS TO THE CUSTOMERS; EFFECTED TRANSACTIONS FOR CUSTOMERS WHICH WERE UNSUITABLE; RESPONDENT LEWIS, JR. ASSISTED RESPONDENTS MEMBER AND TUCKER IN THE GENERATION OF INACCURATE BOOKS AND RECORDS; RESPONDENT SATTERFIELD AND POWELL DIRECTLY OR INDIRECTLY CONTROLLED RESPONDENTS TUCKER AND LEWIS AND THEY FAILED TO PROPERLY SUPERVISE TUCKER AND LEWIS. SATTERFIELD FAILED TO RESPOND TO THE ASSOCIATION'S REQUESTS FOR INFORMATION CONCERNING THE TERMINATION OF RESPONDENT TUCKER MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE. COMBINED DECISION RENDERED 2/20/91, CASE ID. C05890001 AND C05890002 (NEW-712 AND NEW-713), WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENT TUCKER IS CENSURED, FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR TWO (2) WEEKS. THE COMMITTEE DISMISSED, ANY AND ALL ALLEGATIONS IN CASE ID. C05890002 (NEW-713) CONCERNING VIOLATION OF SECTIONS 10 AND 17 OF THE SECURITIES AND EXCHANGE ACT OF 1934 AND RULES 10b-5, 17a-3, 17a-4, AND 17a-5 THEREUNDER AGAINST RESPONDENT TUCKER. (REASONS FOR THE DISMISSALS WERE NOT STATED). 4/1/91 PRESS RELEASE: THE SUSPENSION WILL COMMENCE 4/1/91 AND WILL CONCLUDE 4/12/91. \*\*\*\$5,000.00 PAID ON 4/16/91 INVOICE #91-05-300\*\*\*

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/09/1989

**Docket/Case Number:** C05890002



**Employing firm when activity occurred which led to the regulatory action:** POWELL & SATTERFIELD, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** NO CUSTOMER COMPLAINT; NASD ALLEGED THAT "AMT" ENGAGED IN SEVERAL GOVERNMENT ADJUSTED TRADES, ALSO THAT HE VIOLATED ARTICLE III, SECTIONS 1, 18 & 21 OF THE ASSOCIATION RULES OF FAIR PRACTICE, NO CUSTOMER DAMAGE NOR A MEMBER FIRM DAMAGE.

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 02/20/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$5,000.00 FINE & 2 WEEKS SUSPENSION

**Broker Statement** Not Provided



## 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	STEPHENS INC.
<b>Allegations:</b>	Client purchased a variable annuity in 2004 that included minimum death benefit and Guaranteed Minimum Income Benefit riders that provided a 7% compounding growth guarantee until the earlier of age 80 or the base reached 300% of the initial premium. In 2022, the guaranteed benefit ceased due to the base achieving 300% of the initial premium. Client alleges he was not informed by his financial consultant the 7% guarantee would terminate. However, the Firm has documentation indicating that he received the annuity contract on more than one occasion, as well as emails demonstrating that the client was aware and understood that the 7% guarantee would terminate. As such, the Firm does not believe his claim has merit.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client alleges he was not informed that the 7% compounding growth guarantee for riders on his variable annuity would cease at the earlier of age 80 or when the base investment reached 300% of the initial premium. The client has not provided exact alleged damages, but based on his allegations the firm believes any claim he would make would exceed \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

**Date Complaint Received:** 02/11/2025

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 02/21/2025

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 3

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

STEPHENS INC.

**Allegations:**

CUSTOMER ALLEGED REPRESENTATIVE SOLD SECURITIES WITHOUT CHECKING WITH HER, DISCUSSING IT WITH HER, EXPLAINING WHY HE WANTED TO SELL THE SECURITIES, WHAT HE WANTED TO REPLACE THEM WITH OR NOTIFYING HER OF ANY TAX OBLIGATION SHE WOULD HAVE.

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Alleged Damages:**

\$406,430.29

**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:** 08/05/2009

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:** 08/11/2009

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

THE CALCULATED CLAIM AMOUNT IS GREATLY OVERSTATED. FURTHERMORE, IT WAS THE CUSTOMER'S EXPRESSED DESIRE TO SELL THE SECURITIES IN THE ACCOUNT BEFORE THE ACCOUNT WAS MOVED TO THIS FIRM. THE SALES DID NOT OCCUR AND THE SECURITIES WERE LIQUIDATED SHORTLY AFTER THEY WERE RECEIVED INTO THE ACCOUNT. EXCEPT FOR THE INITIAL SALES AND PURCHASES THERE WAS ALMOST NO ACTIVITY IN THE ACCOUNT. THE ACCOUNT EXPERIENCED MARKET LOSSES.

### Disclosure 3 of 3

**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

STEPHENS INC.

**Allegations:**

ON MARCH 23, 1998 GRAHAM FIELD HEALTH (GFI) MADE A SURPRISE ANNOUNCEMENT REGARDING LARGE WRITE-OFFS RELATING TO PRIOR ACQUISITIONS. THE PRICE OF THE STOCK DROPPED PRECIPITOUSLY. THIS INFORMATION WAS RELATED TO CUSTOMER BY MR. TUCKER AND FROM MARCH 30, 1998 THROUGH JUNE 18, 1998 CUSTOMER PURCHASED SHARES OF GFI. IT IS ALLEGED THAT MR. TUCKER DID NOT DISCLOSE TO CUSTOMER HIS PERSONAL HOLDINGS IN GFI OR THAT THERE WAS A PENDING CLASS ACTION LAWSUIT. MR. TUCKER IN FACT OWNED NO SHARES OF GFI. THESE LAWSUITS WERE ANNOUNCED IMMEDIATELY THOUGH VARIOUS MAJOR BUSINESS NEWS SERVICES AND WERE COMMON KNOWLEDGE IN THE MARKETPLACE, WHICH INFORMATION WAS ALREADY REFLECTED IN THE MARKET PRICE FOR THE STOCK THAT



CUSTOMER PAID IN ALL OF HIS TRANSACTIONS.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$230,126.60

### Customer Complaint Information

**Date Complaint Received:** 08/30/2000

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 03/07/2001

**Settlement Amount:**

**Individual Contribution**

**Amount:**



## End of Report

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