



IAPD Report

NATHAN HUGH BUFFINGTON

CRD# 5423195

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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

NATHAN HUGH BUFFINGTON (CRD# 5423195)

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 **07/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	02/17/2021
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	02/17/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	BB&T SECURITIES, LLC	142785	RICHMOND, VA	01/02/2018 - 02/17/2021
IA	BB&T SECURITIES, LLC	142785	RICHMOND, VA	01/02/2018 - 02/17/2021
IA	BB&T INVESTMENT SERVICES, INC.	33856	HUNTSVILLE, AL	07/13/2011 - 01/02/2018

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

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**
Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303
Firm ID#: 17499

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/17/2021
B Alabama	Agent	Approved	02/17/2021
B Alaska	Agent	Approved	02/17/2021
B Arizona	Agent	Approved	02/14/2022
B California	Agent	Approved	03/16/2023
B Colorado	Agent	Approved	02/17/2021
B Florida	Agent	Approved	02/17/2021
B Georgia	Agent	Approved	02/17/2021
B Illinois	Agent	Approved	02/17/2021
B Indiana	Agent	Approved	02/17/2021
B Iowa	Agent	Approved	09/08/2021
B Massachusetts	Agent	Approved	07/09/2021
B Michigan	Agent	Approved	02/17/2021



Qualifications

Regulator	Registration	Status	Date
B Mississippi	Agent	Approved	02/14/2022
B Missouri	Agent	Approved	07/03/2024
B New York	Agent	Approved	02/14/2022
B North Carolina	Agent	Approved	02/17/2021
B Ohio	Agent	Approved	04/10/2023
B Pennsylvania	Agent	Approved	02/17/2021
B South Carolina	Agent	Approved	02/17/2021
B Tennessee	Agent	Approved	02/17/2021
B Texas	Agent	Approved	02/17/2021
B Virginia	Agent	Approved	02/14/2022
B Washington	Agent	Approved	03/15/2024

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
 415 2ND AVE E
 ONEONTA, AL 35121

SUNTRUST INVESTMENT SERVICES, INC.
 305 CHURCH ST SW
 HUNTSVILLE, AL 35801

SUNTRUST INVESTMENT SERVICES, INC.
 8441 HWY 72 W
 MADISON, AL 35758

SUNTRUST INVESTMENT SERVICES, INC.
 11218 MEMORIAL PKWY SW
 HUNTSVILLE, AL 35803

SUNTRUST INVESTMENT SERVICES, INC.
 4955 UNIVERSITY DR NW
 HUNTSVILLE, AL 35816

SUNTRUST INVESTMENT SERVICES, INC.
 629 E MAIN ST
 ALBERTVILLE, AL 35950

SUNTRUST INVESTMENT SERVICES, INC.
 8857 MADISON BLVD
 MADISON, AL 35758

SUNTRUST INVESTMENT SERVICES, INC.
 402 COX CREEK PKWY
 FLORENCE, AL 35630

SUNTRUST INVESTMENT SERVICES, INC.
 FORT PAYNE, AL

Employment 2 of 2



Qualifications

Firm Name: **TRUIST ADVISORY SERVICES, INC.**
Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303
Firm ID#: 283390

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	02/17/2021

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
305 CHURCH ST SW
FL 1
HUNTSVILLE, AL 35801



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/02/2007
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/03/2007
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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
B	01/02/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	01/02/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	07/13/2011 - 01/02/2018	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	HUNTSVILLE, AL
B	07/12/2011 - 01/02/2018	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	HUNTSVILLE, AL
IA	04/27/2009 - 07/18/2011	STERNE AGEE INVESTMENT ADVISORS, INC.	CRD# 130888	BIRMINGHAM, AL
B	04/27/2009 - 07/18/2011	STERNE, AGEE & LEACH, INC.	CRD# 791	BIRMINGHAM, AL
IA	12/04/2007 - 05/13/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	BIRMINGHAM, AL
B	11/05/2007 - 05/13/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	BIRMINGHAM, AL

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
02/2021 - Present	TRUIST ADVISORY SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
02/2021 - Present	TRUIST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	HUNTSVILLE, AL, United States
01/2018 - 02/2021	BB&T SECURITIES, LLC	INVESTMENT COUNSELOR	Y	ONEONTA, AL, United States
07/2011 - 01/2018	BBTIS	INVESTMENT COUNSELOR	Y	SCOTTSBORO, AL, 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.

SPEAKING ENGAGEMENTS

POSITION: OWNER NATURE: OWNER/SOLE PROPRIETOR INVESTMENT RELATED: NO NUMBER OF HOURS: 5

INVESTMENT RELATED HOURS: 0 START DATE: 06/01/2009

ADDRESS: 1192 COUNTY ROAD 270, FORT PAYNE AL 35967

DESCRIPTION: I SPEAK TO SMALL GROUPS TO EDUCATE THEM ON THE TOPICS OF PERSONAL CONSUMPTION AND BUDGETING. NO INVESTMENTS ARE DISCUSSED. I DON'T SPEAK ON BEHALF OF ANY PERSON OR COMPANY OTHER THAN MYSELF. MINIMAL COMPENSATION IS RECEIVED.

BOARD MEMBER

POSITION: BOARD MEMBER NATURE: BOARD MEMBER INVESTMENT RELATED: NO NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 0 START DATE: 01/15/2015

ADDRESS: 3901 GRAND AVE SW, FORT PAYNE AL 35967

DESCRIPTION: MY CHURCH HAS ASKED ME TO SIT ON THE BOARD.

FARM

POSITION: Owner NATURE: Owner/Sole Proprietor INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES

TRADING HOURS: 0 START DATE: 10/30/2017

ADDRESS: 1192 County Road 270, Fort Payne AL 35967, United States

DESCRIPTION: We started a small farming operation.

NATHAN & STACY BUFFINGTON REAL ESTATE

POSITION: Co-Owner NATURE: We are planning to start purchasing and renting real estate. INVESTMENT RELATED: No

NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2019

ADDRESS: 1192 County Road 270, Fort Payne AL 35967

CAR WASH AND BILLBOARD SIGN

POSITION: Owner NATURE: This is a self-serve car wash. A billboard sign is also part of the property. INVESTMENT RELATED:

No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 06/15/2022

ADDRESS: Fort Payne AL, United States

DESCRIPTION: My wife will order supplies and handle the operations. I don't have plans to handle any of the repairs. We will have someone to handle the repairs. We will have someone handle the ads for the billboard sign. We will receive compensation from that individual for the sign.

HEARTS ACADEMY OF EXCELLENCE

POSITION: Board Member NATURE: This is a home-school hybrid school. INVESTMENT RELATED: No NUMBER OF HOURS:

1 SECURITIES TRADING HOURS: 0 START DATE: 07/09/2025

ADDRESS: Fort Payne AL, United States

DESCRIPTION: Helping guide them on business decisions with running the organization.



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
Customer Dispute	1

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:	Individual
Employing firm when activities occurred which led to the complaint:	BB&T INVESTMENT SERVICES, INC.
Allegations:	CUSTOMER ALLEGES THAT HE WAS NOT GIVEN A PROSPECTUS AND THAT HE THOUGHT THE BONDS THAT HE, AND THE RELATIVES HE ASSISTED, PURCHASED WERE TAX FREE INDIVIDUAL MUNICIPAL BONDS, NOT MUNICIPAL UIT'S.
Product Type:	Unit Investment Trust
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE MORE THAN \$5,000.00.
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:	02/26/2014
Complaint Pending?	No
Status:	Denied
Status Date:	03/04/2014



Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM BELIEVES IT HAS MERITORIOUS DEFENSES TO THE CLIENT'S ALLEGATIONS AND INTENDS TO DEFEND THE MATTER VIGOROUSLY.



End of Report

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