IAPD Report

ELLIOT JAMES COFFEY

CRD# 6363855

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5

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

ELLIOT JAMES COFFEY (CRD# 6363855)

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 **11/01/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FISHER INVESTMENTS	CRD# 107342	07/17/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	111514	HOUSTON, TX	03/10/2017 - 05/01/2019
B	TD AMERITRADE, INC.	7870	HOUSTON, TX	03/10/2017 - 05/01/2019
IA	TD AMERITRADE, INC.	7870	HOUSTON, TX	03/10/2017 - 05/01/2019

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**

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.

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

Employment 1 of 1

Firm Name: **FISHER INVESTMENTS**

Main Address: 6500 INTERNATIONAL PKWY
STE 2050
PLANO, TX 75093-8222

Firm ID#: 107342

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	08/11/2022
IA	Texas	Investment Adviser Representative	Approved	07/17/2019

Branch Office Locations

FISHER INVESTMENTS
PITTSBURGH, PA

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.

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	10/21/2015

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	03/11/2016

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.

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.

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	03/10/2017 - 05/01/2019	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	CRD# 111514	HOUSTON, TX
B	03/10/2017 - 05/01/2019	TD AMERITRADE, INC.	CRD# 7870	HOUSTON, TX
IA	03/10/2017 - 05/01/2019	TD AMERITRADE, INC.	CRD# 7870	HOUSTON, TX
IA	03/14/2016 - 03/03/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HOUSTON, TX
B	10/21/2015 - 03/03/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HOUSTON, 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
07/2019 - Present	FISHER INVESTMENTS	VICE PRESIDENT	Y	PLANO, TX, United States
03/2017 - 05/2019	TD Ameritrade	Senior Financial Consultant	Y	Houston, TX, United States
11/2015 - 03/2017	BANK OF AMERICA, N.A.	Financial Advisor	Y	HOUSTON, TX, United States
06/2015 - 03/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor	Y	HOUSTON, TX, 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 Outside Business:KWTX NEWS 10; Investment Related:No; Address of Outside Business:Waco, Texas; Nature of Outside Business:Other; Position:ON-Air talent; Start Date:9/3/2016; Hours per month: 0-10; Hours per month during securities trading hours: No; Description of Duties: Sitting on a panel and talking about college football
?Name of the other business: BAYLOR UNIVERSITY
?Investment-related? NO
?Address of the other business: 1311 S 5TH STREET, WACO, TX, 76706
?Nature of the other business: BAYLOR FOOTBALL
?Position, title, or relationship with the other business: RADIO HOST

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

?Start date of your relationship: 09/03/16
?Approximate number of hours/month you devote to the other business: SIX-TEN
?Number of hours you devote to the other business during securities trading hours: ZERO
?Duties relating to the other business: RADIO HOST FOR BAYLOR FOOTBALL

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about ELLIOT JAMES COFFEY.