IAPD Report

David Alan Lankford

CRD# 862265

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

David Alan Lankford (CRD# 862265)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/01/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	05/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	TAYLOR SECURITIES, INC.	17575	BRENTWOOD, TN	04/30/2007 - 04/30/2025
B	TAYLOR SECURITIES, INC.	17575	BRENTWOOD, TN	04/27/2007 - 04/30/2025
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	NASHVILLE, TN	09/17/2002 - 04/23/2007

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/01/2025
B	FINRA	General Securities Representative	Approved	05/01/2025
B	FINRA	Operations Professional	Approved	05/01/2025
B	Alabama	Agent	Approved	06/03/2025
B	Arizona	Agent	Approved	08/15/2025
B	Arkansas	Agent	Approved	06/16/2025
B	California	Agent	Approved	06/04/2025
B	Florida	Agent	Approved	06/02/2025
B	Georgia	Agent	Approved	06/11/2025
B	Kentucky	Agent	Approved	05/01/2025
B	Louisiana	Agent	Approved	05/01/2025
B	Missouri	Agent	Approved	05/26/2026
B	New York	Agent	Approved	11/06/2025

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	05/01/2025
B	Texas	Agent	Approved	05/21/2025
B	Vermont	Agent	Approved	05/30/2025
B	Virginia	Agent	Approved	05/01/2025
B	Washington	Agent	Approved	06/16/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
100 Winners Circle
Suite 400
Brentwood, TN 37027

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	05/01/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	05/22/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
100 Winners Circle
Suite 400
Brentwood, TN 37027

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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/06/2007
B	Registered Options Principal Examination (S4)	Series 4	08/27/1980
B	Registered Principal Examination (S40)	Series 40	12/22/1978
B	Financial Principal Examination (F04)	F04	10/25/1978

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/17/1980

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/21/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1985

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.

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	04/30/2007 - 04/30/2025	TAYLOR SECURITIES, INC.	CRD# 17575	BRENTWOOD, TN
B	04/27/2007 - 04/30/2025	TAYLOR SECURITIES, INC.	CRD# 17575	BRENTWOOD, TN
IA	09/17/2002 - 04/23/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	NASHVILLE, TN
B	07/16/2002 - 04/23/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	NASHVILLE, TN
B	02/14/2000 - 07/09/2002	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	BIRMINGHAM, AL
B	02/01/1997 - 02/14/2000	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	06/12/1986 - 02/01/1997	AMERISTAR CAPITAL MARKETS, INC.	CRD# 17068	
B	04/05/1984 - 01/20/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	11/02/1978 - 09/13/1984	TENNESSEE SECURITIES, INC.	CRD# 920	
B	12/15/1981 - 07/19/1982	W. N. ESTES & COMPANY, INC.	CRD# 7037	

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
05/2025 - Present	Pinnacle Financial Partners and Pinnacle Asset Management	Associate/Employee	Y	Brentwood, TN, United States
05/2025 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Brentwood, TN, United States
05/2025 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Brentwood, TN, United States
04/2007 - 04/2025	TAYLOR SECURITIES, INC.	INVESTMENT ADVISOR	Y	BRENTWOOD, TN, 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.

(1)Name of Business: Millennium Brokerage Group Address: 100 Winners Cir N Ste 400, Brentwood, TN, 37027-1074, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 02/09/2026 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Writing non-variable insurance policies and Millennium Brokerage will serve as the broker between us and the insurance carrier
(2)Name of Business: Pinnacle Asset Management Address: 100 Winners Cir N Ste 400, Brentwood, TN, 37027-1074, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 04/28/2025 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor - build relationships with Pinnacle partners, seek prospects for bank and PAM offerings, meet with clients to discuss financial goals and objectives, manage client investment accounts

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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/23/1982
Docket/Case Number:	ATL-683
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/11/1983
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	COMP #ATL-683, FILED 7/23/82, DIST. #7, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 AND 21 OF THE RULES OF FAIR PRACTICE IN THAT LANKFORD FAILED TO MAINTAIN REQUIRED NET CAPITAL; FILED FALSE FINANCIAL REPORTS, WHICH SHOWED THE FIRM TO BE IN COMPLIANCE WITH THE SEC NET CAPITAL RULE; AND FAILED TO ACCURATELY MAINTAIN THE GENERAL LEDGER, TRIAL BALANCE AND COMPUTATION OF AGGREGATE INDEBTEDNESS. ****DECISION RENDERED 1/11/83, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY LANKFORD WAS ACCEPTED; THEREFORE HE IS CENSURED AND FINED $500. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, DECISION WAS FINAL 1/11/83. FC#8381 PAID IN FULL 3/7/83.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/23/1982
Docket/Case Number:	ATL-683
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/11/1983
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	
Broker Statement	NASD COMPLAINT #ATL-683, IN WHICH LANKFORD WAS CENSURED AND FINED $500 FOR ALLEGED VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 21 OF THE NASD'S RULES OF FAIR PRACTICE.

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:	AMSOUTH INVESTMENT SER ICES, INC.
Allegations:	ORAL COMPLAINT, CUSTOMER ALLEGES THAT THE REPRESENTATIVE DID NOT SELL ALL OF HIS HOLDINGS PURSUANT TO THE INSTRUCTIONS GIVEN BY THE CUSTOMER
Product Type:	Mutual Fund(s)
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	08/30/2002
Complaint Pending?	No
Status:	Settled
Status Date:	10/16/2002
Settlement Amount:	$48,800.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMSOUTH
Allegations:	CUSTOMER ALLEGED HE GAVE ORDER TO SELL ALL SECURITIES
Product Type:	Mutual Fund(s)
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	08/30/2002
Complaint Pending?	No
Status:	Settled
Status Date:	10/16/2002
Settlement Amount:	$48,800.00
Individual Contribution Amount:	$0.00

Broker Statement	I MET W/ [CUSTOMER] AT HIS REQUEST IN EARLY JULY '02. HE HAD A PORTFOLIO OF APPROX 1.5 MIL AND SAID HE WANTED TO SELL SUFFICIENT ASSETS TO PAY OFF A 500,000 HOME EQUITY LOAN AND BECOME "DEBT FREE". I RECOMMENDED SECURITIES TO SELL AND HE AGREED, AND THE SALES WERE EXECUTED. ON JULY 5, '02 I RESIGNED FROM AMSOUTH TO JOIN SUNTRUST. IN LATE AUGUST, AMSOUTH NOTIFIED ME THAT [CUSTOMER] HAD FILED A COMPLAINT ALLEGING THAT HE HAD TOLD ME TO SELL ALL OF HIS SECURITIES. THIS WAS NOT THE INSTRX THAT [CUSTOMER] GAVE ME. FURTHER, HE DID NOT QUESTION THE SALES WHEN HE REC'D CONFIRMATIONS FOR THE SALE OF SECURITIES IN JULY OR WHEN HE REC'D THE 500,000 PROCEEDS. AFTER TELLING AMSOUTH MY SIDE OF THE STORY, THEY CHOSE TO SETTLE WITHOUT FURTHER INPUT FROM ME.

End of Report

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