



IAPD Report

DAVID ALAN HUMPHREY

CRD# 2330719

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



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 ALAN HUMPHREY (CRD# 2330719)

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 **03/26/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CHARLES SCHWAB & CO., INC.	CRD# 5393	03/10/2021
IA	CHARLES SCHWAB & CO., INC.	CRD# 5393	03/17/2021

QUALIFICATIONS

This representative is currently registered in **2** 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	TD AMERITRADE, INC.	7870	LAS VEGAS, NV	06/24/2016 - 01/11/2021
B	TD AMERITRADE, INC.	7870	LAS VEGAS, NV	06/14/2016 - 01/11/2021
IA	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	111514	Las Vegas, NV	06/23/2016 - 12/31/2020

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

Employment 1 of 1

Firm Name: **CHARLES SCHWAB & CO., INC.**
Main Address: 3000 SCHWAB WAY
WESTLAKE, TX 94105
Firm ID#: 5393

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/10/2021
B	FINRA	General Securities Sales Supervisor	Approved	03/10/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	03/10/2021
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/10/2021
B	Alabama	Agent	Approved	04/22/2022
B	Arizona	Agent	Approved	03/18/2021
B	California	Agent	Approved	03/11/2021
B	Colorado	Agent	Approved	03/26/2024
B	Delaware	Agent	Approved	03/06/2023
B	Florida	Agent	Approved	05/17/2021
B	Georgia	Agent	Approved	05/04/2022
B	Hawaii	Agent	Approved	03/06/2023
B	Nevada	Agent	Approved	03/17/2021



Qualifications

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	03/17/2021
B North Carolina	Agent	Approved	05/14/2021
B Oregon	Agent	Approved	06/21/2023
B South Carolina	Agent	Approved	04/25/2022
B Texas	Agent	Approved	04/23/2022
B Utah	Agent	Approved	05/14/2021
B Washington	Agent	Approved	04/22/2022

Branch Office Locations

CHARLES SCHWAB & CO., INC.
2245 Village View Drive
Suite 170
Henderson, NV 89074






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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/21/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/06/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/11/1993

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	07/06/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/15/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner



This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/24/2016 - 01/11/2021	TD AMERITRADE, INC.	CRD# 7870	LAS VEGAS, NV
B	06/14/2016 - 01/11/2021	TD AMERITRADE, INC.	CRD# 7870	LAS VEGAS, NV
IA	06/23/2016 - 12/31/2020	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	CRD# 111514	Las Vegas, NV
IA	09/03/2015 - 05/26/2016	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAS VEGAS, NV
B	08/26/2015 - 05/26/2016	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAS VEGAS, NV
IA	08/04/2014 - 07/10/2015	FISHER INVESTMENTS	CRD# 107342	PLANO, TX
IA	10/12/2011 - 08/01/2014	GENTRY ASSET ADVISORY LLC	CRD# 153902	LAS VEGAS, NV
B	02/27/2012 - 07/31/2014	ACCELERATED CAPITAL GROUP	CRD# 41270	LAS VEGAS, NV
B	10/07/2011 - 02/24/2012	MERIDIAN UNITED CAPITAL, LLC	CRD# 122924	LAS VEGAS, NV
IA	07/09/2007 - 09/21/2011	STRATEGIC ADVISERS, INC.	CRD# 104555	HENDERSON, NV
B	11/18/1993 - 09/20/2011	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	HENDERSON, NV
B	08/30/1993 - 10/11/1993	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT
B	03/15/1993 - 08/30/1993	PHOENIX EQUITY PLANNING CORPORATION	CRD# 3036	HARTFORD, CT

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	Charles Schwab & Co., Inc.	REGISTERED REP	Y	HENDERSON, NV, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2021 - Present	Charles Schwab Bank	DUAL EMPLOYEE	Y	HENDERSON, NV, United States
05/2016 - 01/2021	TD Ameritrade	Investment Consultant	Y	Las Vegas, NV, United States
08/2015 - 05/2016	VALIC FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States
07/2014 - 07/2015	FISHER INVESTMENTS	VICE PRESIDENT	Y	CAMAS, WA, United States
02/2012 - 07/2014	ACCELERATED CAPITAL GROUP	REGISTERED REPRESENTATIVE	Y	IRVINE, CA, United States
09/2011 - 07/2014	GENTRY ASSET ADVISORY LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAS VEGAS, NV, 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.



End of Report

This page is intentionally left blank.