

## FINRA BrokerCheck - Search Results

List View

Below is a list of all possible matches that were returned based on the search criteria you provided. Review the information below to determine the brokerage firm or individual broker you would like to view. Select the brokerage firm or individual broker to view the information available on BrokerCheck.

Results 1 to 2 of 2

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Legal Name (CRD#)	Other Names	Current Employing Brokerage Firms (CRD#)
DANIEL DAVILA III (1686004)	DANIEL DAVILA DANNY DAVILA III	TRIAD ADVISORS, INC. (25803)
DANIEL DAVILA (1593317)	DANNY DAVILA	Not FINRA-Registered since 06/2006



## DANIEL DAVILA

CRD# 1593317

This broker is not currently registered with a FINRA firm.

## **Report Summary for this Broker**

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by the broker, a previous employing brokerage firm, or a securities regulator on 06/26/2006.

### **Broker Qualifications**

This broker is not currently registered with a FINRA Disciplinary, and Regulatory Events firm. Disciplinary and Regulatory Events

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

#### **Registration and Employment History**

vis broker was previously registered with the following

## Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? No

COKER & PALMER CRD# 29163 JACKSON, MS 05/2006 - 06/2006

STERNE, AGEE & LEACH, INC. CRD# 791 BIRMINGHAM, AL 05/2003 - 05/2006

HIBERNIA SOUTHCOAST CAPITAL, INC. CRD# 44158 NEW ORLEANS, LA 06/1999 - 05/2003

For additional registration and employment history details as reported by the individual broker, refer to the Registration and Employment History section of this report.



DANIEL DAVILA III CRD# 1686004

Currently employed by and registered with the following FINRA Firms: TRIAD ADVISORS, INC. 7207 MCNEIL DR. SUITE #6 AUSTIN, TX 78729 CRD# 25803 Registered with this firm since: 10/13/2009

### **Report Summary for this Broker**

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### **Broker Qualifications**

#### This broker is registered with:

- 1 Self-Regulatory Organization
  - 5 U.S. states and territories

Is this broker currently suspended or inactive with any regulator? No

#### This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

### **Registration and Employment History**

This broker was previously registered with the following FINRA member films:

NATIONAL PLANNING CORPORATION

AUSTIN, TX 01/2001 - 10/2009

H.D. VEST INVESTMENT SECURITIES, INC. CRD# 13686 IRVING, TX 07/1987 - 01/2001

r additional registration and employment history details as reported by the individual broker, refer to the begistration and Employment History section of this report.

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Are there events disclosed about this broker? Yes Get Detailed Report

The following types of disclosures were reported: Customer Dispute

## Investment Adviser Representative Information

Is there information available about this individual in the Investment Adviser Public Disclosure Program? Yes

# FINCA

### **Disclosure Event Details**

When evaluating this information, please keep in mind that a number of items may involve pending actions or allegations that may be contested and have not been resolved or proven. The items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

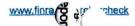
This report provides the information exactly as it was reported to CRD by the individual broker, a member firm(s), and/or by securities industry regulators. Some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

#### Customer Dispute - Pending

This section provides information regarding pending customer disputes that was reported to CRD by the individual broker, a member firm, and/or a securities regulator. The event may include a pending consumer-initiated, investment-related arbitration proceeding or civil suit that contains allegations of sales practice violations against the broker. It may also include a pending, consumer-initiated, investment-related written complaint, which contains either allegations of sales practice violations and compensatory damages of \$5,000 or more, or allegations of forgery, theft or misappropriation or conversion of funds or securities.

Disclosure 1 of 1	
Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HDVEST
Allegations:	CO-DEFENDANT W/ OTHERS IN A SUIT WHICH ALLEGES BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD, CONSPIRACY, DECEPTING TRADE PRACTICES AND NEGLIGENCE. TOTAL DAMAGES EXCEED \$1.5 M.
Product Type:	Other
Other Product Type(s):	INCOME TAX SERVICES
Alleged Damages:	\$1,500,000.00
Customer Complaint Inform	nation
Date Complaint Received:	08/30/1996
Complaint Pending?	No
Status:	Settled
Status Date:	11/12/1998
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#### Settlement Amount: Individual Contribution Amount:

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