

## BrokerCheck Report

**RONALD JAMES KRUSZEWSKI**

CRD# 1434827

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| Report Summary                      | 1                     |
| Broker Qualifications               | 2 - 5                 |
| Registration and Employment History | 7 - 8                 |



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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



## RONALD J. KRUSZEWSKI

CRD# 1434827

Currently employed by and registered with the following Firm(s):

**A** **STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
 501 N. BROADWAY  
 ST. LOUIS, MO 63102  
 CRD# 793  
 Registered with this firm since: 02/26/1999

**B** **STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
 501 N. BROADWAY  
 ST. LOUIS, MO 63102  
 CRD# 793  
 Registered with this firm since: 10/20/1997

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

This broker is registered with:

- 11 Self-Regulatory Organizations
- 12 U.S. states and territories

This broker has passed:

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

### Registration History

This broker was previously registered with the following securities firm(s):

- B** **BAIRD/MARK CAPITAL GROUP, A FLORIDA GENERAL PARTNERSHIP**  
 CRD# 21657  
 05/1992 - 10/1997
- B** **ROBERT W. BAIRD & CO. INCORPORATED**  
 CRD# 8158  
 MILWAUKEE, WI  
 09/1989 - 10/1997
- B** **ILLINOIS COMPANY INVESTMENTS, INC.**  
 CRD# 821  
 04/1986 - 07/1989

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 11 SROs and is licensed in 12 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Office Address: **501 NORTH BROADWAY  
ST. LOUIS, MO 63102**

Firm CRD#: **793**

| SRO                        | Category                            | Status   | Date       |
|----------------------------|-------------------------------------|----------|------------|
| B Cboe BZX Exchange, Inc.  | Financial and Operations Principal  | Approved | 02/24/2021 |
| B Cboe BZX Exchange, Inc.  | General Securities Principal        | Approved | 02/24/2021 |
| B Cboe BZX Exchange, Inc.  | General Securities Representative   | Approved | 02/24/2021 |
| B Cboe EDGA Exchange, Inc. | Financial and Operations Principal  | Approved | 02/24/2021 |
| B Cboe EDGA Exchange, Inc. | General Securities Principal        | Approved | 02/24/2021 |
| B Cboe EDGA Exchange, Inc. | General Securities Representative   | Approved | 02/24/2021 |
| B Cboe EDGX Exchange, Inc. | Financial and Operations Principal  | Approved | 02/24/2021 |
| B Cboe EDGX Exchange, Inc. | General Securities Principal        | Approved | 02/24/2021 |
| B Cboe EDGX Exchange, Inc. | General Securities Representative   | Approved | 02/24/2021 |
| B FINRA                    | Financial and Operations Principal  | Approved | 10/20/1997 |
| B FINRA                    | General Securities Representative   | Approved | 10/20/1997 |
| B FINRA                    | General Securities Principal        | Approved | 07/09/1998 |
| B FINRA                    | Operations Professional             | Approved | 10/01/2018 |
| B FINRA                    | Municipal Securities Representative | Approved | 02/24/2021 |
| B Investors' Exchange LLC  | Financial and Operations Principal  | Approved | 08/17/2016 |



## Broker Qualifications

### Employment 1 of 1, continued

| SRO                       | Category                            | Status   | Date       |
|---------------------------|-------------------------------------|----------|------------|
| B Investors' Exchange LLC | General Securities Principal        | Approved | 08/17/2016 |
| B Investors' Exchange LLC | General Securities Representative   | Approved | 08/17/2016 |
| B NYSE American LLC       | General Securities Representative   | Approved | 10/20/1997 |
| B NYSE American LLC       | General Securities Principal        | Approved | 11/24/2003 |
| B NYSE American LLC       | Financial and Operations Principal  | Approved | 03/14/2005 |
| B NYSE American LLC       | Municipal Securities Representative | Approved | 02/24/2021 |
| B NYSE Texas, Inc.        | Financial and Operations Principal  | Approved | 02/24/2021 |
| B NYSE Texas, Inc.        | General Securities Principal        | Approved | 02/24/2021 |
| B NYSE Texas, Inc.        | General Securities Representative   | Approved | 02/24/2021 |
| B Nasdaq ISE, LLC         | Financial and Operations Principal  | Approved | 02/24/2021 |
| B Nasdaq ISE, LLC         | General Securities Principal        | Approved | 02/24/2021 |
| B Nasdaq ISE, LLC         | General Securities Representative   | Approved | 02/24/2021 |
| B Nasdaq PHLX LLC         | General Securities Representative   | Approved | 10/20/1997 |
| B Nasdaq PHLX LLC         | Financial and Operations Principal  | Approved | 02/24/2021 |
| B Nasdaq PHLX LLC         | General Securities Principal        | Approved | 02/24/2021 |
| B Nasdaq Stock Market     | Financial and Operations Principal  | Approved | 07/12/2006 |
| B Nasdaq Stock Market     | General Securities Principal        | Approved | 07/12/2006 |
| B Nasdaq Stock Market     | General Securities Representative   | Approved | 07/12/2006 |
| B New York Stock Exchange | General Securities Representative   | Approved | 10/20/1997 |
| B New York Stock Exchange | Financial and Operations Principal  | Approved | 06/26/2010 |
| B New York Stock Exchange | General Securities Principal        | Approved | 06/26/2010 |
| B New York Stock Exchange | Municipal Securities Representative | Approved | 02/24/2021 |



## Broker Qualifications

### Employment 1 of 1, continued

|    | U.S. State/ Territory | Category                          | Status          | Date       |
|----|-----------------------|-----------------------------------|-----------------|------------|
| B  | Arizona               | Agent                             | Approved        | 02/24/2023 |
| B  | California            | Agent                             | Approved        | 02/24/2023 |
| B  | Colorado              | Agent                             | Approved        | 12/18/2019 |
| B  | District of Columbia  | Agent                             | Approved        | 02/24/2023 |
| B  | Florida               | Agent                             | Approved        | 02/24/2023 |
| B  | Hawaii                | Agent                             | Approved        | 02/24/2023 |
| B  | Illinois              | Agent                             | Approved        | 10/20/1997 |
| B  | Indiana               | Agent                             | Approved        | 02/24/2023 |
| B  | Michigan              | Agent                             | Approved        | 10/21/1997 |
| B  | Missouri              | Agent                             | Approved        | 10/20/1997 |
| IA | Missouri              | Investment Adviser Representative | Requalification | 02/26/1999 |
| B  | South Carolina        | Agent                             | Approved        | 02/24/2023 |
| B  | Washington            | Agent                             | Approved        | 02/24/2023 |

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
 501 N. BROADWAY  
 ST. LOUIS, MO 63102



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>B</b> General Securities Principal Examination       | Series 24 | 07/07/1998 |
| <b>B</b> Financial and Operations Principal Examination | Series 27 | 03/15/1986 |

### General Industry/Product Exams

| Exam   | Category    | Date       |
|--|-------------|------------|
| <b>B</b> Operations Professional Examination             | Series 99TO | 01/02/2023 |
| <b>B</b> Municipal Securities Representative Examination | Series 52TO | 01/02/2023 |
| <b>B</b> Securities Industry Essentials Examination      | SIE         | 10/01/2018 |
| <b>B</b> General Securities Representative Examination   | Series 7    | 07/16/1988 |

### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 05/16/1991 |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

| Registration Dates         | Firm Name   | CRD#  | Branch Location |
|----------------------------|---|-------|-----------------|
| <b>B</b> 05/1992 - 10/1997 | BAIRD/MARK CAPITAL GROUP, A FLORIDA GENERAL PARTNERSHIP | 21657 |                 |
| <b>B</b> 09/1989 - 10/1997 | ROBERT W. BAIRD & CO. INCORPORATED                      | 8158  | MILWAUKEE, WI   |
| <b>B</b> 04/1986 - 07/1989 | ILLINOIS COMPANY INVESTMENTS, INC.                      | 821   |                 |

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

| Employment        | Employer Name  | Position                         | Investment Related | Employer Location            |
|-------------------|--|----------------------------------|--------------------|------------------------------|
| 01/2012 - Present | STIFEL FINANCIAL CORP  | CHAIRMAN/CHIEF EXECUTIVE OFFICER | Y                  | ST. LOUIS, MO, United States |
| 01/1998 - Present | Century Securities Associates / STIFEL INDEPENDENT ADVISORS, LLC | Director, Chairman of the Board  | Y                  | St. Louis, MO, United States |
| 09/1997 - Present | STIFEL, NICOLAUS & COMPANY, INCORPORATED                         | CEO                              | Y                  | ST. LOUIS, MO, United States |

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. Non Profit Fundraising of the US Ski and Snowboarding Team; Board of Trustees Member; No Compensation.
2. St Louis Chamber & Growth Association; Board Member of Community Development Association; No Compensation; Attend Board Meetings.
3. St Louis Chapter of World President's Organization; Member; 01/02/2012; 5 Hours per Year; Not During Securities Trading Hours.
4. Wimbledon Properties, LLC; 16 Huntleigh Woods, Huntleigh, MO 63131; Real Estate; Member; Co-Owner LLC; 06/24/2015; 0 Hours per Day; Not During Securities Trading Hours; Not Investment-Related.
5. Kruszewski Investments LLC (various); 501 North Broadway, St Louis, MO 63102; Holds Investments; LLC Member; Full Ownership; 12/11/2012; 1 Hours per Month; Not During Securities Trading Hours; Investment-Related.
6. American Securities Association (ASA); 1455 Pennsylvania, Avenue, NW, Suite 400, Washington DC 20004; America's voice for main street's



## Registration and Employment History

### Other Business Activities, continued

investor; Chairman; Collaborate with other CEOs and top ranking people regarding issues that affect our business; 05/01/2018; 1 Hour per Week; During Securities Trading Hours; Investment-Related.

7. Securities Industry and Financial Markets Association (SIFMA); 1099 New York Avenue, 6th Floor, Washington DC 20001; Industry trade group representing securities, firms, banks, and asset management companies; Board Member and Executive Committee; Collaborate with other CEOs and top ranking people; 10/01/2008; 1 Hour per Day; During Securities Trading Hours; Investment-Related.

8. Broadway Boat Company, LLC; 501 North Broadway, St Louis, MO 63102; LLC to house yacht; Owner; 05/01/2018; 1 Hour per Week; During Securities Trading Hours; Not Investment-Related.

9. Greater St. Louis Inc.; One Metropolitan Square, Suite 1300, St Louis, MO 63102; Brings together business & civic leaders to create jobs, expand economic growth, and improve St. Louis' global competitiveness; Chair's Council; Collaborate with other St Louis business leaders regarding issues that affect our business; 11/01/2020; 1 Hour per Month; During Securities Trading Hours; Investment-Related.

10. Kutcher Clinic (The Sports Neurology Clinic, Inc); 8275 Grand River Avenue, Suite 210, Brighton, MI 46213; Monitor brain health and manage neurological injuries/diseases of athletes; Series A Board of Directors; Member of the Board; 01/01/2020; 1 Hour per Month; During Securities Trading Hours; Not Investment-Related.

11. Saint Louis University; 1 North Grand, St Louis, MO 63103; University; Board of Trustees; Collaborate with other business leaders regarding issues with the school; 01/01/2017; 1 Hour per Month; During Securities Trading Hours; Not Investment-Related.

12. Future Fuel Corp.; 8235 Forsyth Blvd, Clayton, MO 63105; Chemicals and biofuel; Board member; 07/11/2022; 10 Hours per Year; During Securities Trading Hours; Not Investment-Related.

13. Horatio Alger Association; 99 Canal Center Plaza, #320 Alexandria, VA 22314; 501(c)(3) nonprofit educational organization; Board of Director; Attend Board meetings; 01/01/2024; 10 hr/year; During Securities Trading Hours; Not Investment-Related.

14. Lee Enterprises; 4600 E. 53rd Street Davenport, IA 52807; Leading provider of high quality, trusted, local news and information; Board of Director; Oversee strategic direction, financial performance, and governance.; 04/06/2026; 32 hr/year; During Securities Trading Hours; Not Investment-Related.

---

## End of Report



**This page is intentionally left blank.**