

BrokerCheck Report

DAVID LYNN VAN GEFFEN

CRD# 1890754

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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:
 - o 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
 - o 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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**DAVID L. VAN GEFFEN**

CRD# 1890754

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 1921 Kaliste Saloom Rd Ste 202A
 Lafayette, LA 70508
 CRD# 6363
 Registered with this firm since: 03/25/2020

B AMERIPRISE FINANCIAL SERVICES, LLC
 1921 Kaliste Saloom Rd Ste 202A
 Lafayette, LA 70508
 CRD# 6363
 Registered with this firm since: 03/13/2020

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:

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

This broker has passed:

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

Registration History

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

- B AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 03/2020 - 03/2020
- IA AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 03/2020 - 03/2020
- IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 CRD# 149018
 SAINT PETERSBURG, FL
 01/2009 - 03/2020

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1



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 1 SRO and is licensed in 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/13/2020
B	FINRA	General Securities Representative	Approved	03/13/2020
B	FINRA	Municipal Fund	Approved	03/13/2020

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	04/24/2020
B	Louisiana	Agent	Approved	03/25/2020
IA	Louisiana	Investment Adviser Representative	Approved	03/25/2020
B	Mississippi	Agent	Approved	03/26/2020
B	Tennessee	Agent	Approved	03/13/2020
B	Texas	Agent	Approved	05/18/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/24/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1921 Kaliste Saloom Rd Ste 202A

Broker Qualifications



Employment 1 of 1, continued

Lafayette, LA 70508

AMERIPRISE FINANCIAL SERVICES, LLC

Lafayette, LA



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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Fund Securities Principal Examination	Series 51	04/28/2004
B General Securities Principal Examination	Series 24	08/01/1996

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/15/1988

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/02/2006
B Uniform Securities Agent State Law Examination	Series 63	08/23/1991

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/.

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 03/2020 - 03/2020	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
IA 03/2020 - 03/2020	AEGIS CAPITAL CORP.	15007	Lafayette, LA
IA 01/2009 - 03/2020	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	LAFAYETTE, LA
B 07/1996 - 03/2020	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	LAFAYETTE, LA
IA 03/2020 - 03/2020	AMERIPRISE FINANCIAL SERVICES, LLC.	6363	MINNEAPOLIS, MN
IA 01/2006 - 01/2009	RAYMOND JAMES FINANCIAL SERVICES	6694	LAFAYETTE, LA
B 02/1993 - 05/1996	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO
B 10/1988 - 02/1993	MONY SECURITIES CORP.	4386	NEW YORK, NY
B 10/1988 - 10/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	2873	NEW YORK, NY

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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Lafayette, LA, United States
01/1998 - Present	DL VAN GEFFEN LIMITED	SUPPORT COMPANY / OWNER	Y	LAFAYETTE, LA, United States
03/2020 - 03/2020	Aegis Capital	Registered Representative	Y	Lafayette, LA, United States
01/2009 - 03/2020	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	IAR	Y	LAFAYETTE, LA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/1996 - 03/2020	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	LAFAYETTE, LA, 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.

Independent Insurance Brokering; Allianz Life; 01/01/2020; Fixed Annuity / Jackson National Life; 01/01/2010; / Lincoln Financial; 01/01/2010; / Nationwide; 01/01/2010; / Midland National - Sammons; 01/01/2015; . Outside Employment; James Evans - Gulf South Wealth Advisors; Financial Advisor - Investment Management and Financial Planning; ; 1921 Kaliste Saloom Road Suite 205, , Lafayette, LA, 70508; Investment-Related; 02/15/2022; 60 hours per month; 60 during trading hours.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the 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 and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	08/23/2021
Docket/Case Number:	2020066115901
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES FINANCIAL SERVICES, INC.
Product Type:	Other: Annuity income benefit
Allegations:	Without admitting or denying the findings, Van Geffen consented to the sanctions and to the entry of findings that he impersonated a customer on telephone calls to an annuity company. The findings stated that the customer requested that Van Geffen effectuate an increase in his annuity income benefit but did not give him permission to impersonate him.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

08/23/2021

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 Business Days
Start Date:	09/20/2021
End Date:	10/08/2021

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 09/15/2021**Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 08/23/2021**Docket/Case Number:** [2020066115901](#)**Employing firm when activity occurred which led to the regulatory action:** RAYMOND JAMES FINANCIAL SERVICES, INC.**Product Type:** Other: Annuity income benefit**Allegations:** Without admitting or denying the findings, Van Geffen consented to the sanctions and to the entry of findings that he impersonated a customer on telephone calls to an annuity company. The findings stated that the customer requested that Van Geffen effectuate an increase in his annuity income benefit but did not give him permission to impersonate him.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/23/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 Business Days
Start Date:	09/20/2021
End Date:	10/08/2021
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLAIMANT ALLEGES ANNUITIES PURCHASED FOR RETIREMENT PLANS WERE UNSUITABLE, EXPENSES WERE NOT FULLY DISCLOSED AND ACCOUNT WAS MISMANAGED.
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	01/08/2002
Complaint Pending?	No
Status:	Denied
Status Date:	01/22/2002
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: Raymond James Financial Services, Inc.

Termination Type: Discharged

Termination Date: 03/06/2020

Allegations: Financial Advisor impersonated client in an attempt to facilitate a service-related request with an annuity company.

Product Type: No Product

Reporting Source: Broker

Employer Name: Raymond James Financial Services, Inc.

Termination Type: Discharged

Termination Date: 03/06/2020

Allegations: Financial Advisor impersonated client in an attempt to facilitate a service-related request with an annuity company.

Product Type: No Product

End of Report



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