

BrokerCheck Report

Nicholas Thomas Stafford

CRD# 2900449

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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:
 - 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



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.](http://www.finra.org)



Nicholas T. Stafford

CRD# 2900449

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

IA ARKADIOS WEALTH ADVISORS
2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
CRD# 288863
Registered with this firm since: 07/27/2023

B ARKADIOS CAPITAL
2827 Peachtree Rd NE, Suite 510
Atlanta, GA 30305
CRD# 282710
Registered with this firm since: 07/20/2023

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
- 31 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA EMERSON EQUITY LLC**
CRD# 130032
SAN MATEO, CA
04/2022 - 07/2023
- B EMERSON EQUITY LLC**
CRD# 130032
SAN MATEO, CA
04/2022 - 07/2023
- B BRIDGE CAPITAL ASSOCIATES, INC.**
CRD# 143475
NORCROSS, GA
01/2020 - 03/2022

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
Customer Dispute	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 31 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**

Main Office Address: **2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305**

Firm CRD#: **282710**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/20/2023
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	07/20/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/20/2023
B	Arkansas	Agent	Approved	07/20/2023
B	California	Agent	Approved	07/20/2023
B	Colorado	Agent	Approved	07/20/2023
B	Connecticut	Agent	Approved	07/20/2023
B	Florida	Agent	Approved	07/20/2023
B	Georgia	Agent	Approved	07/20/2023
B	Indiana	Agent	Approved	07/20/2023
B	Kentucky	Agent	Approved	07/20/2023
B	Louisiana	Agent	Approved	07/20/2023
B	Maine	Agent	Approved	09/12/2023



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	08/29/2023
B	Michigan	Agent	Approved	09/26/2023
B	Mississippi	Agent	Approved	07/20/2023
B	Missouri	Agent	Approved	07/20/2023
B	Nebraska	Agent	Approved	10/24/2023
B	New Jersey	Agent	Approved	07/20/2023
B	New York	Agent	Approved	07/20/2023
B	North Carolina	Agent	Approved	07/20/2023
B	Ohio	Agent	Approved	10/18/2023
B	Oklahoma	Agent	Approved	12/07/2023
B	Oregon	Agent	Approved	07/20/2023
B	Pennsylvania	Agent	Approved	07/20/2023
B	Rhode Island	Agent	Approved	07/20/2023
B	South Carolina	Agent	Approved	07/20/2023
B	Tennessee	Agent	Approved	04/19/2026
B	Texas	Agent	Approved	07/20/2023
B	Virginia	Agent	Approved	07/20/2023
B	West Virginia	Agent	Approved	08/29/2023
B	Wisconsin	Agent	Approved	09/18/2024
B	Wyoming	Agent	Approved	07/20/2023



Broker Qualifications

Employment 1 of 2, continued

Branch Office Locations

ARKADIOS CAPITAL

2827 Peachtree Rd NE, Suite 510
Atlanta, GA 30305

Employment 2 of 2

Firm Name: **ARKADIOS WEALTH ADVISORS**
Main Office Address: **2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305**
Firm CRD#: **288863**

U.S. State/ Territory	Category	Status	Date
IA Georgia	Investment Adviser Representative	Approved	07/27/2023

Branch Office Locations

2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305



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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	04/15/2008
B General Securities Sales Supervisor - Options Module Examination	Series 9	04/04/2008
B General Securities Principal Examination	Series 24	12/13/2006

General Industry/Product Exams

Exam	Category	Date
B Direct Participation Programs Representative Examination	Series 22TO	04/11/2022
B Limited Representative-Private Securities Offerings	Series 82TO	01/10/2020
B Securities Industry Essentials Examination	SIE	11/14/2019
B National Commodity Futures Examination	Series 3	10/31/1997
B General Securities Representative Examination	Series 7	09/19/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/24/2020
IA Uniform Investment Adviser Law Examination	Series 65	11/10/1997

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 **1** professional designation(s).

Chartered Financial Analyst

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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 04/2022 - 07/2023	EMERSON EQUITY LLC	130032	ATLANTA, GA
B 04/2022 - 07/2023	EMERSON EQUITY LLC	130032	SAN MATEO, CA
B 01/2020 - 03/2022	BRIDGE CAPITAL ASSOCIATES, INC.	143475	NORCROSS, GA
IA 08/2017 - 04/2019	SIGNATUREFD, LLC	112758	ATLANTA, GA
IA 01/2016 - 07/2017	CAPITAL BANK AND TRUST COMPANY	170017	IRVINE, CA
IA 09/2014 - 01/2016	CAPITAL GUARDIAN TRUST COMPANY	108236	ATLANTA, GA
B 04/2013 - 11/2013	ZELMAN PARTNERS, LLC	145187	BAY VILLAGE, OH
B 03/2002 - 02/2013	KEEFE, BRUYETTE & WOODS, INC.	481	ATLANTA, GA
B 11/1999 - 02/2002	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 09/1997 - 10/1999	LEHMAN BROTHERS INC.	7506	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
07/2023 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
07/2023 - Present	Arkadios Wealth Advisors	Investment Adviser Representative	Y	Atlanta, GA, United States
04/2022 - 07/2023	Emerson Equity LLC	Registered Representative	Y	San Mateo, CA, United States
11/2019 - 03/2022	Bridge Capital Associates, Inc.	Investment Banker	Y	Lilburn, GA, United States
05/2019 - 11/2019	Contiger Ventures LLC	Managing Member	N	Atlanta, GA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2017 - 04/2019	Signaturefd	Investment Advisor Representative	Y	Atlanta, GA, United States
01/2016 - 07/2017	Capital Bank and Trust Company	Mass Transfer	Y	Irvine, CA, United States
08/2014 - 07/2017	Capital Guardian Trust Company	Senior Vice President and Investment Counselor	Y	Atlanta, GA, 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. PERCH WEALTH-INVESTMENT RELATED; 9940 RESEARCH DRIVE, #200 IRVINE, CA 92618; MARKETING VEHICLE THROUGH WHICH INVESTMENT RELATED BUSINESS IS DONE ; VICE PRESIDENT; SALES AND MARKETING OF DST AND OTHER RELATED PRIVATE REAL ESTATE INVESTMENTS. 6.5 HOURS A DAY DURING SECURITIES TRADING HOURS; 03/22
2. CONTIGER VENTURES, LLC-INVESTMENT RELATED; 3225 VERDUN DRIVE NW ATLANTA , GA 30305; SINGLE MEMBER LLC ESTABLISHED FOR TAX PURPOSES RELATED TO NICHOLAS T STAFFORD'S MARKETING ACTIVITIES AS AN INDEPENDENT CONTRACTOR AT EMERSON EQUITY; MANAGING MEMBER; SALES AND MARKETING OF REAL ESTATE-TYPE OF INVESTMENTS 32.5 HOURS A WEEK DURING SECURITIES TRADING HOURS; 05/2019



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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Customer Dispute	1	0	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.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	Suitability
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified Amount
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-01880



Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2025

Customer Complaint Information

Date Complaint Received: 12/19/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EMERSON EQUITY LLC

Allegations: The claim is for unsuitable private placements.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified Amount

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-01880

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2025

Customer Complaint Information

Date Complaint Received: 12/19/2025



Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement

The client engaged our services after considering recommendations from several other DST focused advisory firms. We presented a diversified portfolio of DST offerings which allowed her to successfully complete a 1031 Exchange related to the sale of a highly appreciated property in Washington state. This transaction allowed her to defer substantial capital gains and income tax liabilities which otherwise would have been realized when she filed her 2022 income tax returns.

End of Report



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