



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

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 firm.

This broker has passed:

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

Registration and Employment History

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

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

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

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

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 06/17/2011.

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

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? **Yes**

[Get Detailed Report](#)

The following types of disclosures were reported:

Customer Dispute

Registration and Employment History

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

NATIONAL PLANNING CORPORATION

CRD# 29604
AUSTIN, TX
01/2001 - 10/2009

H.D. VEST INVESTMENT SECURITIES, INC.

CRD# 13686
IRVING, TX
07/1987 - 01/2001

Investment Adviser Representative Information

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

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

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:	HD VEST
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 Information

Date Complaint Received:	08/30/1996
Complaint Pending?	No
Status:	Settled
Status Date:	11/12/1998

24 yrs



About this Discretionary Report

BrokerCheck reports are part of FINRA's initiative to disclose information about FINRA registrants. This report includes information about the individual's background, including any disciplinary actions, and any other information that may be relevant to the individual's registration and licensing process.

Settlement Amount: \$450,000.00
Individual Contribution Amount: \$0.00

For more information about BrokerCheck, please visit the FINRA website at www.finra.org/brokercheck. This information is provided for informational purposes only and does not constitute an offer of any financial product or service.

The forms used by brokerage firms to register for membership in the FINRA regulatory and licensing process, Forms 50 and 700, are administered by the SEC. It is required by all state securities regulators and the FINRA and National Futures Association (NFA) membership forms that are used in the registration and licensing process for individual brokers. These forms are subject to the SEC's regulatory and disciplinary jurisdiction for both individual brokers and firms.

How is this information maintained in BrokerCheck?
BrokerCheck maintains information about the individual's background, including any disciplinary actions, and any other information that may be relevant to the individual's registration and licensing process.

What information is included in this report?
This report includes information about the individual's background, including any disciplinary actions, and any other information that may be relevant to the individual's registration and licensing process.

How is this information used?
This information is used by FINRA and its member firms to make decisions about the individual's registration and licensing process.

What should I do if I have a complaint?
If you have a complaint about this report, please contact FINRA at www.finra.org.

How can I get more information?
For more information about BrokerCheck, please visit the FINRA website at www.finra.org/brokercheck.

FINRA
1900 M Street, N.W.
Washington, D.C. 20005

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