



## 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<br>(CRD#)                           | Other Names                       | Current Employing Brokerage Firms<br>(CRD#) |
|--|-----------------------------------|---|
| <a href="#">DANIEL DAVILA III</a><br>(1686004) | DANIEL DAVILA<br>DANNY DAVILA III | TRIAD ADVISORS, INC.<br>(25803)             |
| <a href="#">DANIEL DAVILA</a><br>(1593317)     | DANNY DAVILA                      | Not FINRA-Registered since 06/2006          |

To search for a broker, enter the individual's first and last name, or the individual's CRD#, select the employing broker, and then select **Go** or **Search**.

To search for a brokerage firm, enter the firm's name or CRD#, select the brokerage firm button, and then select **Go** or **Search**.

If your search returns multiple results, place your cursor over each listing, click on the name, and then select **Go** or **Search**.

If you are having problems with your search, check the [FAQ](#) page, or call a FINRA staff member at (800) 368-7099.

Do you need help searching?



**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

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## 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

### 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

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 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

### Investment Adviser Representative Information

Is there information available about this individual in the Investment Adviser Public Disclosure Program? [Yes](#)

## BrokerCheck Report

**DANIEL DAVILA III**

CRD# 1686004

Report #82855-25087, data current as of Thursday, July 14, 2011.

| <b><u>Section Title</u></b>   | <b><u>Page(s)</u></b> |
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Dear Investor:



FINRA has generated the following BrokerCheck report for **DANIEL DAVILA III**. The information contained within this report has been provided by a FINRA member firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®) system.

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member firm or any of the member's associated persons. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides on currently registered individuals and individuals who were registered during the past ten years include: actions by regulators, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens. FINRA also provides on a permanent basis certain information on former registered individuals, if any of the following applies, as reported to CRD on a uniform registration form: (1) the person was the subject of a final regulatory event; (2) the person was convicted of or pled guilty or nolo contendere to a crime; (3) the person was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) the person was named as a respondent or defendant in an arbitration or civil litigation that resulted in an award, decision or judgment for a customer.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the firm or broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or brokerage firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers and firms licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to [www.nasaa.org](http://www.nasaa.org) for a complete list of state securities regulators.

**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).



## 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

### 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

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 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**

**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**

## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides the physical location of each branch that the individual broker is associated with for each listed employment.

**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: **TRIAD ADVISORS, INC.**  
Main Office Address: **5185 PEACHTREE PARKWAY  
SUITE 280  
NORCROSS, GA 30092**  
Firm CRD#: **25803**

| SRO   | Category                          | Status   | Date       |
|-------|-----------------------------------|----------|------------|
| FINRA | Direct Participation Programs     | APPROVED | 10/13/2009 |
| FINRA | General Securities Principal      | APPROVED | 10/13/2009 |
| FINRA | General Securities Representative | APPROVED | 10/13/2009 |
| FINRA | Invest. Co and Variable Contracts | APPROVED | 10/13/2009 |

| U.S. State/<br>Territory | Category | Status   | Date       |
|--------------------------|----------|----------|------------|
| Arizona                  | Agent    | APPROVED | 10/30/2009 |
| Florida                  | Agent    | APPROVED | 10/13/2009 |
| Kansas                   | Agent    | APPROVED | 06/20/2011 |
| Texas                    | Agent    | APPROVED | 10/14/2009 |
| Wisconsin                | Agent    | APPROVED | 06/20/2011 |

### Branch Office Locations

**TRIAD ADVISORS, INC.**  
7207 MCNEIL DR.  
SUITE #6  
AUSTIN, TX 78729

## Broker Qualifications

### Employment 1 of 1, continued

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## Broker Qualifications

### Industry Exams this Broker has Passed

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

#### Principal/Supervisory Exams

| Exam                                     | Category  | Date       |
|--|-----------|------------|
| General Securities Principal Examination | Series 24 | 12/17/1998 |

#### General Industry/Product Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| Investment Company Products/Variable Contracts Representative Examination | Series 6  | 07/06/1987 |
| General Securities Representative Examination                             | Series 7  | 11/21/1987 |
| Direct Participation Programs Representative Examination                  | Series 22 | 07/13/1987 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination | Series 63 | 07/06/1987 |



## Registration and Employment History

### Previously Registered with the Following FINRA Firms

FINRA records show this broker previously held FINRA registrations with the following firms:

| Registration Dates | Firm Name                             | CRD#  | Branch Location |
|--------------------|---------------------------------------|-------|-----------------|
| 01/2001 - 10/2009  | NATIONAL PLANNING CORPORATION         | 29604 | AUSTIN, TX      |
| 07/1987 - 01/2001  | H.D. VEST INVESTMENT SECURITIES, INC. | 13686 | IRVING, TX      |

### 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 a FINRA firm 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 Dates  | Employer Name                 | Employer Location |
|-------------------|-------------------------------|-------------------|
| 10/2009 - Present | TRIAD ADVISORS, INC.          | AUSTIN, TX        |
| 10/2009 - Present | VISION CAPITAL PARTNERS, INC. | AUSTIN, TX        |
| 01/1984 - Present | DAVILA SCHAUBHUT & CO         | AUSTIN, TX        |
| 01/2001 - 10/2009 | NATIONAL PLANNING CORP        | AUSTIN, TX        |

### Affiliations

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. AUSTIN WEALTH MANAGEMENT, LLC; INVESTMENT RELATED; 7207 MCNEIL DR; DBA UNDER TRIAD; PARTNER; 3/2009; 100HRS/MO; 1HR/DAY; COMPENSATED BY TRIAD COMMISSIONS; FINANCIAL ADVISOR
2. VISION CAPITAL PARTNERS; INVESTMENT RELATED; 6290 JUPITER AVE NE, SUITE B, BELMONT, MI 49306; RIA: IAR; 10/2009; 6HRS/MO; 1HR/DAY; PAYOUT FROM VISION CAPITAL PARTNERS; IAR
3. DAVILA BUSCHHORN & ASSOCIATES, P.C.; NOT INVESTMENT RELATED; 7207 MCNEIL DR; CPA; PRESIDENT; 1984; 125HRS/MO; 0HRS/DAY; COMPENSATION - SALARY; DAY TO DAY SUPERVISION OF ACCOUNTING STAFF
4. DANIEL DAVILA III FAMILY LIMITED PARTNERSHIP; NOT INVESTMENT RELATED; 7207 MCNEIL DR. AUSTIN TX 78729; FAMILY OWNED INVESTMENT COMPANY; GENERAL PARTNER; 1/1999; 6HRS/MO; 0HRS/DAY;

## Registration and Employment History



### Affiliations, continued

COMPENSATION - DISTRIBUTIONS ONLY; MANAGE A VARIETY OF ASSETS (REAL ESTATE, RANCH, STOCKS, OTHER CLOSELY HELD ENTITIES)

5. DANIEL DAVILA III; INVESTMENT RELATED; 7207 MCNEIL DR; LIFE INSURANCE; INDEPENDENT REPRESENTATIVE; 1987; 6HRS/MO;0HRS/DAY; COMPENSATION - COMMISSIONS; SALE OF LIFE INSURANCE

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

### What you should know and/or consider regarding any reported disclosure events:

- Before reaching a conclusion regarding any of the information contained in this BrokerCheck report, you should ask the broker to clarify the specific event(s) listed, or to provide a response to any questions you may have.
- "Pending" actions involve unproven and/or unsubstantiated allegations.

### Disclosures in BrokerCheck reports come from different sources:

- **Self-disclosure:** Brokers are required to answer a series of questions on their application requesting securities industry registration (Form U4). For example, brokers are asked whether they have been involved in certain regulatory, civil, criminal and financial matters (e.g., bankruptcy), or have been the subject of a customer dispute.
- **Regulator/Employer postings:** In addition, regulators and firms that have employed a broker also may contribute relevant information about such matters. All of this information is maintained in CRD.

### 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 report a particular criminal event.
- Likewise, a **regulatory agency** must meet established standards before initiating a regulatory action and/or issuing sanctions. These standards typically include a reasonable basis for initiating the action after engaging in a fact-finding process.

### In order for a *customer* dispute to be reported to CRD, a customer must:

- Allege that their broker engaged in activity that violates certain rules or conduct governing the industry; and
- Claim damages of \$5,000 or more as a result of that activity.

(Note: customer disputes may be more subjective in nature than a criminal or regulatory action)

### What you should consider when evaluating the status or disposition of a reported disclosure event:

- **Disclosure events may be *pending, on appeal, or final.*** *Pending and 'on appeal'* matters reflect allegations that (1) have not been proven or formally adjudicated, or (2) have been adjudicated but are currently being appealed. *Final* matters generally may be *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 represents a disposition wherein parties involved in a dispute reach an agreement to resolve the matter.

(Note: brokers may choose to settle customer disputes or regulatory matters for business or other reasons)

- Customer disputes also may be **resolved** without any payment to the customer or any finding of wrongdoing on the part of the individual broker.



Possible multiple reporting sources -- please note:

Disclosure details may be reported by more than one source (i.e., regulator, firm, or broker). When this occurs, all versions of the event will appear in the BrokerCheck report. The different versions of the same disclosure event are separated by a solid line with the reporting source labeled.

Customer Dispute

**Pending**

1

**Final**

0

**On Appeal**

N/A

they need to update their broker check

### 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

2 yrs

**Settlement Amount:**

\$450,000.00

**Individual Contribution  
Amount:**

\$0.00

## About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and individual brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

### Who provides the information in BrokerCheck?

Information made available through BrokerCheck is obtained from CRD as reported through the industry registration and licensing process.

The forms used by brokerage firms, to report information as part of the firms registration and licensing process, Forms BD and BDW, are established by the SEC and adopted by all state securities regulators and SROs. FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that are used for the registration and licensing process for individual brokers. These forms are approved by the SEC. Regulators report disciplinary information for firms and individual brokers via Form U6.

### How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (typically not later than 30 days after learning of an event). BrokerCheck data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

### What information is NOT disclosed through BrokerCheck?

Information that has not been reported to CRD and certain information that is no longer required to be reported through the registration and licensing process is not disclosed through BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as outstanding that have been satisfied and bankruptcy proceedings filed more than 10 years ago.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical description information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. FINRA Rule 8312 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from CRD. Further information about expungement from CRD is available in FINRA notices 99-09, 99-54, 01-65, and 04-16 at [www.finra.org](http://www.finra.org).

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web site at [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or call the FINRA BrokerCheck Hotline at (800) 289-9999. This hotline is open Monday through Friday from 8:00 a.m. to 8:00 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: [http://www.finra.org/brokercheck\\_reports](http://www.finra.org/brokercheck_reports)
- Glossary: [http://www.finra.org/brokercheck\\_glossary](http://www.finra.org/brokercheck_glossary)
- Questions Frequently Asked about BrokerCheck Reports: [http://www.finra.org/brokercheck\\_faq](http://www.finra.org/brokercheck_faq)
- Terms and Conditions: <http://brokercheck.finra.org/terms.aspx>





## FINRA BrokerCheck - Simple Search

Danny Davila

Broker  Brokerage Firm

BrokerCheck provides information about all current and former FINRA-registered firms. It also provides information about individual brokers who:

- are currently FINRA-registered,
- have been registered with FINRA within the last ten years, or
- have ever been (1) the subject of a final regulatory event, (2) convicted of or pled guilty or nolo contendere to a crime, (3) the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s), or (4) a respondent or defendant in an arbitration or civil litigation which resulted in an award, decision or judgment for a customer that has been reported to CRD.

To search for a broker, enter the individual's first and last name or the individual's CRD#, select the Broker button, and then select Start Search.

To search for a brokerage firm, enter the firm's name or CRD#, select the Brokerage Firm button, and then select Start Search.

If your search returns multiple results, place your search text (exact spelling) within quotations, (e.g., "Jane Doe").

If you are having problems with your search, either perform an Advanced Search, a Firm Index search, or call FINRA's BrokerCheck Hotline at (800) 289-9999.

Do you need [help searching?](#)