

BrokerCheck Report

STEVEN JOSEPH REMCHUK

CRD# 1141102

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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.

STEVEN J. REMCHUK

CRD# 1141102

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
TULSA, OK
08/2016 - 01/2025
- B J.P. MORGAN SECURITIES LLC**
CRD# 79
TULSA, OK
10/2008 - 08/2016
- B J.P. MORGAN SECURITIES INC.**
CRD# 18718
TULSA, OK
07/2006 - 10/2008

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
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/15/2001
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	02/09/1989

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/16/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/17/1998
B National Commodity Futures Examination	Series 3	01/30/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/29/1999
B Uniform Securities Agent State Law Examination	Series 63	09/28/1998

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
B 08/2016 - 01/2025	WELLS FARGO CLEARING SERVICES, LLC	19616	TULSA, OK
B 10/2008 - 08/2016	J.P. MORGAN SECURITIES LLC	79	TULSA, OK
B 07/2006 - 10/2008	J.P. MORGAN SECURITIES INC.	18718	TULSA, OK
B 03/1999 - 07/2006	BANC ONE SECURITIES CORPORATION	16999	TULSA, OK
B 02/1988 - 12/1989	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY
B 06/1983 - 02/1988	E. F. HUTTON & COMPANY INC	235	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Tulsa, OK, United States
08/2016 - 11/2016	Wells Fargo Advisors LLC	Registered Rep	Y	Tulsa, OK, United States
09/2006 - 08/2016	J.P. MORGAN SECURITIES INC.	Mass Transfer	Y	TULSA, OK, United States
07/2006 - 08/2016	J.P. MORGAN SECURITIES INC.	Mass Transfer	Y	TULSA, OK, 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.

CATHOLIC DIOCESE OF TULSA, NOT INV RELATED, BROKEN ARROW, OK, FINANCE COMMITTEE MEMBER, START: 1/1/2009, 3 HOURS PER MONT.

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.
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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.
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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
Regulatory Event	0	1	0
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:	HEARING PANEL
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/30/1993
Docket/Case Number:	94-46
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/20/1994
Sanctions Ordered:	Bar Censure

**Other Sanctions Ordered:****Sanction Details:**

5/20/94 HEARING PANEL DECISION 94-46 IN VIEW OF THE PANEL, THIS DECISION OF A CONSENT TO CENSURE, THREE MONTH BAR AND AN UNDERTAKING (REDUCED FROM CENSURE, NINE MONTH BAR AND AN UNDERTAKING.)

Regulator Statement

IN VIEW OF THE PANEL, THE PRVIOUS PENALTY WAS TOO SEVERE. THE PANEL NOTED THAT MR. REMCHUK CONDUCT HAD NOT AFFECTED ANY CUSTOMERS AND AT THE TIME OF THE VIOLATIVE CONDUCT THE FIRM HAD NO PROHIBITION ON DAY TRADING IN SUGGEST III ACCOUNTS. THE PANEL UNANIMOUS OPINION THAT THE PENALTY OUGHT TO BE MODIFIED BY A REDUCTION TO A CENSURE AND A THREE MONTH BAR IS EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212)656-8450

Reporting Source:

Broker

Regulatory Action Initiated By:

22F4 WAS ANSWERED ON THE DRPNYSE

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

07/30/1993

Docket/Case Number:

94-46

Employing firm when activity occurred which led to the regulatory action:**Product Type:**

No Product

Other Product Type(s):**Allegations:**

NO DAMAGES. NO CLIENT INVOLVED. ALLEGED I HAD A JOINT ACCOUNT WITH AN EMPLOYEE.

Current Status:

Final

Resolution:

Consent

Resolution Date:

05/20/1994

Sanctions Ordered:

Bar
Censure



Other Sanctions Ordered:

Sanction Details:

THREE MONTH SUSPENSION. LICENSE HAD EXPIRED SEVERAL YEARS EARLIER. I WAS NOT WITH A SECURITIES FIRM AT THIS TIME. REPORTED TO AIMR (ASSOCIATION FOR INVESTMENT RESEARCH MANAGEMENT) THEY DID NOT INVESTIGATE PROCEEDINGS. MATTER CLOSED.

Broker Statement

IN APRIL 1994 I CONSENTED TO A 3 MONTH SUSPENSION OF MY LICENSE BY THE NYSE. I DID NOT ADMIT TO ANY VIOLATION OF SECURITY LAWS. THE INCIDENT DID NOT INVOLVE A CLIENT. I AGREED TO THE SUSPENSION BECAUSE 1) THE ALLEGED INCIDENT OCCURED IN 1989. 2) I HAD BEEN OUT OF THE SECURITY BUSINESS SINCE 1989 AND MY LICENSES HAD LAPSED, 3) I COULD NOT AFFORD OR JUSTIFY THE COST TO DEFEND THIS ALLEGATION. DURING 1989 I WAS EMPLOYED AS A BUSINESS ANALYST AND 98% OF MY INCOME WAS DERIVED FROM THIS OCCUPATION NOT AS A BROKER.



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:	Broker
Employer Name:	SHEARSON LEHMAN HUTTON INC
Termination Type:	Discharged
Termination Date:	11/14/1989
Allegations:	<p>N/A</p> <p>SHERSON LEHMAN HUTTON ALLEGED THAT ON OR ABOUT 8/17/89, MYSELF AND ANOTHER SHERSON REGISTERED REPRESENTATIVE ESTABLISHED AN ACCOUNT AT SHERSON WITHOUT DISCLOSING OUR SHARED BENEFICIAL INTEREST IN THE ACCOUNT. THE ACCOUNT WAS STYLED IN THE NAME OF THE OTHER REP'S SPOUSE WHO OPENED IT AS A SINGLE ACCOUNT. TRADING OCCURRED FROM ABOUT LATE AUGUST THROUGH MID OCTOBER WHEN IT WAS DETECTED BY COMPLAINEE.</p>
Product Type:	No Product
Other Product Types:	
Broker Statement	<p>TERMINATION.</p> <p>THIS INFORMATION HAS BEEN PREVIOUSLY DISCLOSED BY SHERSON LEHMAN HUTTON.</p>

End of Report



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