BrokerCheck Report

STEVEN JAMES LEWIS SR

CRD# 1526636

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.

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. LEWIS SR

CRD# 1526636

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

IA **VERITY ASSET MANAGEMENT**
ABERDEEN, NC
CRD# 158667
Registered with this firm since: 07/29/2011

B **VERITY INVESTMENTS, INC.**
280 S. MANGUM STREET
SUITE 550
DURHAM, NC 27701
CRD# 41527
Registered with this firm since: 10/27/2006

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
- 4 U.S. states and territories

This broker has passed:

- 0 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):

IA **VERITY INVESTMENTS, INC.**
CRD# 41527
DURHAM, NC
10/2006 - 07/2011

IA **THE HOUSEHOLDER GROUP, ESTATE & RETIREMENT SPECIALISTS**
CRD# 107773
SCOTTSDALE, AZ
03/2006 - 10/2006

B **AIG FINANCIAL ADVISORS, INC.**
CRD# 133763
SCOTTSDALE, AZ
01/2006 - 08/2006

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
Judgment/Lien	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 4 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **VERITY ASSET MANAGEMENT**

Main Office Address: **280 S MANGUM ST**
STE 550
DURHAM, NC 27701-3676

Firm CRD#: **158667**

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	07/29/2011

Branch Office Locations

280 S MANGUM ST
STE 550
DURHAM, NC 27701-3676

ABERDEEN, NC

Employment 2 of 2

Firm Name: **VERITY INVESTMENTS, INC.**

Main Office Address: **280 S MANGUM ST**
STE 550
DURHAM, NC 27701-3683

Firm CRD#: **41527**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/27/2006

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	11/30/2023
B	New York	Agent	Approved	11/22/2006
B	North Carolina	Agent	Approved	10/30/2006
B	Virginia	Agent	Approved	06/03/2014

Branch Office Locations

VERITY INVESTMENTS, INC.
280 S. MANGUM STREET
SUITE 550
DURHAM, NC 27701

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/19/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	07/15/2002
B	Uniform Securities Agent State Law Examination	Series 63	08/08/1986

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
IA	10/2006 - 07/2011	VERITY INVESTMENTS, INC.	41527	APEX, NC
IA	03/2006 - 10/2006	THE HOUSEHOLDER GROUP, ESTATE & RETIREMENT SPECIALISTS	107773	RALEIGH, NC
B	01/2006 - 08/2006	AIG FINANCIAL ADVISORS, INC.	133763	SCOTTSDALE, AZ
IA	01/2005 - 09/2005	SUNTRUST INVESTMENT SERVICES, INC.	17499	DURHAM, NC
B	01/2005 - 09/2005	SUNTRUST INVESTMENT SERVICES, INC.	17499	ATLANTA, GA
B	12/2004 - 01/2005	NCF FINANCIAL SERVICES, INC.	120471	DURHAM, NC
IA	07/2002 - 01/2005	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY
B	04/2001 - 01/2005	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
B	11/1990 - 05/1999	THE DREYFUS SERVICE CORPORATION	231	NEW YORK, NY
B	08/1989 - 10/1990	CASTLE SECURITIES CORP.	16077	FREEPORT, NY
B	04/1989 - 08/1989	ESCALATOR SECURITIES, INC.	16985	
B	07/1986 - 03/1989	INVESTORS CENTER, INC.	14670	

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
06/2011 - Present	VERITY INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	DURHAM, NC, United States
10/2006 - Present	VERITY ASSET MANAGEMENT, INC	DIRECTOR, INSTITUTIONAL SERVICES	Y	DURHAM, NC, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2006 - Present	VERITY FINANCIAL GROUP	FINANCIAL ADVISOR	N	DURHAM, NC, 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) Verity Asset Management; Investment-related; Aberdeen, NC; Registered Investment Adviser; Contractor; Investment advisor representative; 07/2011; 160 hours per month; 160 during market hours; Offers investment advisory services.

2) Verity Financial Group, Inc.; Not investment-related; Durham, NC; Insurance agency; Agent; Independent Contractor; 10/2006; 0 hours per month; 0 during market hours; Insurance and annuity products.

2) Wine Kit Reviews; Not investment-related; Cary NC; Internet publishing; Sole proprietor; Consultant; 10/2016; 5 hours per month; 0 during market hours; Publish reviews of various wine kits.

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
Judgment/Lien	1	N/A	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	MICHIGAN
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15.
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:	
Sanction Details:	N/A
Regulator Statement	STEVEN JAMES LEWIS' REGISTRATION WAS REVOKED DUE TO THE FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15. DOCKET/CASE NUMBER NOT PROVIDED, DATED DECEMBER 27, 1989.

Reporting Source:	Firm
Regulatory Action Initiated By:	STATE OF MICHIGAN-SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	NA
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	CURRENTLY REGISTERED AS AN AGENT
Firm Statement	Not Provided

Reporting Source:	Broker

Regulatory Action Initiated By:	STATE OF MICHIGAN
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	$15.00 NON-PAYMENT 1989 RENEWAL FEE
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	REVOKED
Broker Statement	NOT PROVIDED

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	HSBC BANK NEVADA N.A.
Judgment/Lien Amount:	$19,107.00
Judgment/Lien Type:	Civil
Date Filed with Court:	10/05/2010
Date Individual Learned:	10/26/2010
Type of Court:	DISTRICT COURT
Name of Court:	WAKE COUNTY
Location of Court:	RALEIGH, NC
Docket/Case #:	2010CVD013969
Judgment/Lien Outstanding?	Yes
Broker Statement	DUE TO ECONOMIC DOWNTURN, I WAS UNABLE TO PAY THIS DEBT.

End of Report

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