BrokerCheck Report

STEVEN JOHN SARIGIANIS

CRD# 1526658

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.
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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. SARIGIANIS

CRD# 1526658

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

B **BENGUR BRYAN & CO., INC.**
509 SOUTH EXETER STREET
SUITE 210
BALTIMORE, MD 21202
CRD# 36290
Registered with this firm since: 05/23/2017

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
- 1 U.S. state or territory

This broker has passed:

- 0 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 **TRESTLE POINT, LLC**
CRD# 138494
BIRMINGHAM, MI
04/2014 - 04/2017

IA **INSPIRED CAPITAL MANAGEMENT INC.**
CRD# 138291
TIMONIUM, MD
04/2011 - 12/2014

B **WELLS FARGO ADVISORS, LLC**
CRD# 19616
HUNT VALLEY, MD
08/2002 - 03/2011

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
Customer Dispute	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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **BENGUR BRYAN & CO., INC.**

Main Office Address: **509 SOUTH EXETER STREET**
SUITE 210
BALTIMORE, MD 21202

Firm CRD#: **36290**

	SRO	Category	Status	Date
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	05/23/2017

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	05/25/2017

Branch Office Locations

BENGUR BRYAN & CO., INC.
509 SOUTH EXETER STREET
SUITE 210
BALTIMORE, MD 21202

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, 4 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	Limited Representative-Private Securities Offerings	Series 82	04/23/2014
B	Futures Managed Funds Examination	Series 31	02/16/2005
B	General Securities Representative Examination	Series 7	07/19/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/12/2014
IA	Uniform Investment Adviser Law Examination	Series 65	06/19/1997

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 **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
B	04/2014 - 04/2017	TRESTLE POINT, LLC	138494	BIRMINGHAM, MI
IA	04/2011 - 12/2014	INSPIRED CAPITAL MANAGEMENT INC.	138291	TIMONIUM, MD
B	08/2002 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	HUNT VALLEY, MD
IA	08/2002 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	HUNT VALLEY, MD
B	01/2001 - 08/2002	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
IA	09/2000 - 08/2002	DEUTSCHE BANK SECURITIES INC.	2525	TOWSON, MD
B	09/1997 - 01/2001	DB ALEX. BROWN LLC	17790	BALTIMORE, MD
B	12/1990 - 09/1997	ALEX. BROWN & SONS INCORPORATED	20	
B	07/1986 - 11/1990	THE STUART-JAMES COMPANY, INCORPORATED	11691	DENVER, CO

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
04/2017 - Present	Bengur Bryan & Co., Inc.	Managing Director	Y	Baltimore, MD, United States
09/2013 - 03/2017	TRESTLE POINT, LLC	REGISTERED REPRESENTATIVE	Y	MEMPHIS, TN, 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.

SJS Legal Recruiting, LLC; Not Investment-Related; 13102 Shaneybrook Circle, Reisterstown, MD 21136; Legal Recruiter; Managing Member,

Registration and Employment History

Other Business Activities, continued

September 27, 2021; 240 hours/month, 140 hours/month during securities trading hours; duties are legal recruiting for law firms and in-house roles for private and public companies.

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o

4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Customer Dispute	0	1	N/A
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:	MARYLAND
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/08/2013
Docket/Case Number:	2013-0333
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	INSPIRED CAPITAL MANAGEMENT, INC.
Product Type:	Promissory Note
Allegations:	RESPONDENT INTRODUCED 10 INDIVIDUALS TO TWO DIFFERENT INVESTMENT OPPORTUNITIES OFFERED BY ISSUER. IN EXCHANGE FOR HIS INTRODUCTIONS, RESPONDENT RECEIVED COMPENSATION IN THE FORM OF COMMISSIONS. RESPONDENT VIOLATED SECTION 11-401 OF THE SECURITIES ACT BY ACTING AS AN UNREGISTERED BROKER-DEALER OR AGENT. RESPONDENT FAILED TO TIMELY AMEND HIS FORM U4 AND FORM PART 2B BROCHURE TO DISCLOSE HIS SOLICITATION ACTIVITIES AS AN OUTSIDE BUSINESS ACTIVITY, IN VIOLATION OF SECTION 11-411 OF THE SECURITIES ACT.

Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/05/2014
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$17,500.00
Portion Levied against individual:	$17,500.00
Payment Plan:	$2,500 UP FRONT AND $3,000 PER QUARTER
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Broker
Regulatory Action Initiated By:	MARYLAND
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/08/2013
Docket/Case Number:	2013-0333

Employing firm when activity occurred which led to the regulatory action:	INSPIRED CAPITAL MANAGEMENT, INC.
Product Type:	Promissory Note
Allegations:	RESPONDENT INTRODUCED 10 INDIVIDUALS TO TWO DIFFERENT INVESTMENT OPPORTUNITIES OFFERED BY ISSUER. IN EXCHANGE FOR HIS INTRODUCTIONS, RESPONDENT RECEIVED COMPENSATION IN THE FORM OF COMMISSIONS. RESPONDENT VIOLATED SECTION 11-401 OF THE SECURITIES ACT BY ACTING AS AN UNREGISTERED BROKER-DEALER OR AGENT. RESPONDENT FAILED TO TIMELY AMEND HIS FORM U4 AND FORM PART 2B BROCHURE TO DISCLOSE HIS SOLICITATION ACTIVITIES AS AN OUTSIDE BUSINESS ACTIVITY, IN VIOLATION OF SECTION 11-411 OF THE SECURITIES ACT.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/05/2014
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$17,500.00
Portion Levied against individual:	$17,500.00
Payment Plan:	$2,500 UP FRONT AND $3,000 PER QUARTER
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC.
Allegations:	CLIENT CLAIMS THAT UNSPECIFIED TRANSACTIONS PRIOR TO DECEMBER 2000 WERE NOT AUTHORIZED. WHILE THE CLIENT HAS NOT CLAIMED A COMPENSATORY DAMAGE AMOUNT, THE FIRM HAS BEEN UNABLE TO DETERMINE THAT THE DAMAGES FROM THE ALLEDGED CONDUCT WOULD BE LESS THAN $5,000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	04/06/2002
Complaint Pending?	No
Status:	Settled
Status Date:	11/05/2003
Settlement Amount:	$97,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC.
Allegations:	CLIENT CLAIMS THAT UNSPECIFIED TRANSACTIONS PRIOR TO DECEMBER 2000 WERE NOT AUTHORIZED. CLIENT DOES NOT CLAIM A COMPENSATORY DAMAGE AMOUNT. THE FIRM HAS BEEN UNABLE TO DETERMINE THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN $5,000.
Product Type:	Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	04/26/2002
Complaint Pending?	No
Status:	Settled
Status Date:	11/05/2003
Settlement Amount:	$97,500.00
Individual Contribution Amount:	$0.00

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:	Capital One
Judgment/Lien Amount:	$16,649.37
Judgment/Lien Type:	Civil
Date Filed with Court:	06/22/2017
Date Individual Learned:	01/01/2018
Type of Court:	State Court
Name of Court:	Baltimore County District Court
Location of Court:	Baltimore, Maryland
Docket/Case #:	080400083362017
Judgment/Lien Outstanding?	Yes
Broker Statement	Financial hardships from 2013-2017 has led to the liens. I have satisfied many debts during 2018 and have engaged legal counsel to resolve this debt.

End of Report

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