

BrokerCheck Report

STEPHEN CAULEY SCANLON

CRD# 2219308

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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.

**STEPHEN C. SCANLON**

CRD# 2219308

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

IA **EQUITABLE ADVISORS, LLC**
 KANSAS CITY, MO
 CRD# 6627
 Registered with this firm since: 02/27/2019

B **EQUITABLE ADVISORS, LLC**
 1345 AVENUE OF THE AMERICAS
 NEW YORK, NY 10105
 CRD# 6627
 Registered with this firm since: 02/27/2019

B **EQUITABLE DISTRIBUTORS, LLC**
 1345 Avenue of the Americas
 New York, NY 10105
 CRD# 25900
 Registered with this firm since: 10/27/2017

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
- 4 U.S. states and territories

This broker has passed:

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

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

- IA** **CHANGE PATH LLC**
 CRD# 281213
 OVERLAND PARK, KS
 01/2017 - 09/2017
- B** **MADISON AVENUE SECURITIES, LLC**
 CRD# 23224
 SAN DIEGO, CA
 06/2016 - 12/2016
- IA** **MADISON AVENUE SECURITIES, LLC**
 CRD# 23224
 SAN DIEGO, CA
 06/2016 - 12/2016

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? **No**



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: **EQUITABLE ADVISORS, LLC**

Main Office Address: **1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105**

Firm CRD#: **6627**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/27/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	02/27/2019
B	FINRA	Investment Co./Variable Contracts Prin	Approved	02/27/2019
B	FINRA	Operations Professional	Approved	11/08/2021

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	02/27/2019
IA	Missouri	Investment Adviser Representative	Approved	02/27/2019
B	New Jersey	Agent	Approved	03/04/2019
B	New York	Agent	Approved	02/28/2019

Branch Office Locations

EQUITABLE ADVISORS, LLC
1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

EQUITABLE ADVISORS, LLC
KANSAS CITY, MO



Broker Qualifications

Employment 2 of 2

Firm Name: **EQUITABLE DISTRIBUTORS, LLC**

Main Office Address: **8501 IBM DRIVE, SUITE 150
CHARLOTTE, NC 28262**

Firm CRD#: **25900**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/27/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	10/27/2017
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/21/2017
B	FINRA	Operations Professional	Approved	12/19/2017

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	05/15/2018
B	New York	Agent	Approved	05/15/2018
B	North Carolina	Agent	Approved	09/13/2024

Branch Office Locations

EQUITABLE DISTRIBUTORS, LLC

1345 Avenue of the Americas
New York, NY 10105



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 3 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	09/19/2009
B General Securities Sales Supervisor - General Module Examination	Series 10	06/13/2009
B Investment Company Products/Variable Contracts Principal Examination	Series 26	10/05/2004

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	04/04/2013
B General Securities Representative Examination	Series 7	05/06/2009
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/11/1996
B Direct Participation Programs Representative Examination	Series 22	01/18/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/14/2018
IA Uniform Investment Adviser Law Examination	Series 65	03/05/2010

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 01/2017 - 09/2017	CHANGE PATH LLC	281213	LEAWOOD, KS
B 06/2016 - 12/2016	MADISON AVENUE SECURITIES, LLC	23224	SAN DIEGO, CA
IA 06/2016 - 12/2016	MADISON AVENUE SECURITIES, LLC	23224	Topeka, KS
IA 03/2010 - 04/2014	ALLIANCEBERNSTEIN L.P.	108477	DALLAS, TX
B 10/2009 - 04/2014	SANFORD C. BERNSTEIN & CO., LLC	104474	DALLAS, TX
B 09/2003 - 10/2009	ALLIANCEBERNSTEIN INVESTMENTS, INC.	14549	NEW YORK, NY
B 01/2002 - 09/2003	MANULIFE FINANCIAL SECURITIES LLC	5249	BOSTON, MA
B 06/1996 - 01/2002	MANULIFE WOOD LOGAN, INC.	19177	STAMFORD, CT
B 08/1993 - 12/1994	LYNMARK FINANCIAL GROUP, INC.	14027	IRVING, TX
B 01/1993 - 08/1993	BRAZOS SECURITIES, INC.	21624	DALLAS, 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 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
01/2024 - Present	EQUITABLE DISTRIBUTORS, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
10/2017 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
10/2017 - 12/2023	Equitable Distributors, LLC	SVP-Head of Business Development	Y	Jersey City, NJ, United States
10/2017 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2017 - 06/2020	AXA Distributors, LLC	SVP-HEAD OF BUSINESS DEVELOPMENT	Y	Jersey City, NJ, United States
01/2017 - 09/2017	Change Path LLC	Investment Adviser Representative	Y	LEAWOOD, KS, United States
04/2014 - 09/2017	Guardvest Inc	Owner	Y	Dallas, TX, United States
05/2016 - 11/2016	Madison Avenue Securities, LLC	REGISTERED REPRESENTATIVE	Y	san diego, CA, United States
03/2016 - 11/2016	Fortem Capital Partners (Subsidiary of Advisors Excel)	President	Y	Topeka, KS, 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.

No information reported.

End of Report



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