BrokerCheck Report

STEVEN CHRISTOPHER BENDER

CRD# 2650187

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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.
-

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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 C. BENDER

CRD# 2650187

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

CAMPBELL LUTYENS & CO. INC.
630 FIFTH AVE.
36TH FLOOR
NEW YORK, NY 10111
CRD# 133376
Registered with this firm since: 07/22/2026

USMART CAPITAL, LLC
515 MADISON AVE.
SUITE 9023
NEW YORK, NY 10022
CRD# 329365
Registered with this firm since: 11/19/2025

MODERN PRIVATE EQUITY PARTNERS, LLC
2847 LONG BRANCH ROAD
SPENCER, TN 38585
CRD# 326206
Registered with this firm since: 12/22/2023

TRADE CAPITAL MARKETS (TCM) NORTH AMERICA LLC
Barnegat, NJ
CRD# 316822
Registered with this firm since: 12/01/2022

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

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:

- 4 Self-Regulatory Organizations
- 13 U.S. states and territories

This broker has passed:

- 8 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):

BRYANT PARK CAPITAL SECURITIES, INC.
CRD# 20433
BLUE BELL, PA
08/2016 - 08/2026

AMVEST CAPITAL SECURITIES LLC
CRD# 329978
NEW YORK, NY
04/2025 - 11/2025

MARSHBERRY CAPITAL, LLC.
CRD# 157384
WOODMERE, OH
07/2012 - 05/2025

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
Customer Dispute	1

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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 4 SROs and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 10

Firm Name: **BAADER HELVEA INC.**

Main Office Address: **420 LEXINGTON AVENUE**
SUITE 804
NEW YORK, NY 10170

Firm CRD#: **132007**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	08/10/2010
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

BAADER HELVEA INC.
420 LEXINGTON AVENUE
SUITE 804
NEW YORK, NY 10170

BAADER HELVEA INC.
420 LEXINGTON AVENUE
SUITE 804
NEW YORK, NY 10170

Employment 2 of 10

Firm Name: **CAMPBELL LUTYENS & CO. INC.**

Main Office Address: **630 FIFTH AVE.**
36TH FLOOR
NEW YORK, NY 10111

Firm CRD#: **133376**

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Broker Qualifications

Employment 2 of 10, continued

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/22/2026

Branch Office Locations

CAMPBELL LUTYENS & CO. INC.
630 FIFTH AVE.
36TH FLOOR
NEW YORK, NY 10111

Employment 3 of 10

Firm Name: **CONDUENT SECURITIES, LLC**

Main Office Address: **2847 LONG BRANCH ROAD**
SPENCER, TN 38585

Firm CRD#: **135474**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/08/2021
B	FINRA	General Securities Principal	Approved	09/01/2022
B	FINRA	General Securities Representative	Approved	09/01/2022

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/02/2024
B	Connecticut	Agent	Approved	08/02/2024
B	District of Columbia	Agent	Approved	07/12/2024
B	Georgia	Agent	Approved	08/02/2024
B	Illinois	Agent	Approved	08/02/2024
B	Maine	Agent	Approved	08/02/2024
B	Maryland	Agent	Approved	08/02/2024

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Broker Qualifications

Employment 3 of 10, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	08/02/2024
B	New Hampshire	Agent	Approved	08/02/2024
B	New Jersey	Agent	Approved	08/26/2022
B	Ohio	Agent	Approved	08/02/2024
B	Texas	Agent	Approved	06/26/2024

Branch Office Locations

CONDUENT SECURITIES, LLC
2847 LONG BRANCH ROAD
SPENCER, TN 38585

CONDUENT SECURITIES, LLC
Spencer, TN

Employment 4 of 10

Firm Name: **LIFESCI CAPITAL**

Main Office Address: **1700 BROADWAY**
40TH FLOOR
NEW YORK, NY 10019

Firm CRD#: **168404**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	06/18/2014
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

LIFESCI CAPITAL
1700 BROADWAY

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Broker Qualifications

Employment 4 of 10, continued

40TH FLOOR
NEW YORK, NY 10019

Employment 5 of 10

Firm Name: **MODERN PRIVATE EQUITY PARTNERS, LLC**

Main Office Address: **2847 LONG BRANCH ROAD**
SPENCER, TN 38585

Firm CRD#: **326206**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	12/22/2023
B	FINRA	General Securities Principal	Approved	12/22/2023
B	FINRA	General Securities Representative	Approved	12/22/2023
B	FINRA	General Securities Sales Supervisor	Approved	12/22/2023
B	FINRA	Introducing BD/Finan Operation Principal	Approved	12/22/2023
B	FINRA	Municipal Securities Principal	Approved	12/22/2023
B	FINRA	Municipal Securities Representative	Approved	12/22/2023
B	FINRA	Operations Professional	Approved	12/22/2023
B	FINRA	Research Analyst	Approved	12/22/2023
B	FINRA	Research Principal	Approved	12/22/2023

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/22/2024

Branch Office Locations

MODERN PRIVATE EQUITY PARTNERS, LLC
2847 LONG BRANCH ROAD
SPENCER, TN 38585

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Broker Qualifications

Employment 5 of 10, continued

Employment 6 of 10

Firm Name: **ROSE & CO. CAPITAL ADVISORS, LLC**

Main Office Address: **445 PARK AVENUE**
SUITE 700
NEW YORK, NY 10022

Firm CRD#: **168274**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	04/21/2021
B	FINRA	Operations Professional	Approved	04/21/2021

Branch Office Locations

ROSE & CO. CAPITAL ADVISORS, LLC
445 PARK AVENUE
SUITE 700
NEW YORK, NY 10022

Employment 7 of 10

Firm Name: **TRADE CAPITAL MARKETS (TCM) NORTH AMERICA LLC**

Main Office Address: **900 BARNEGAT BLVD N**
UNIT 102
BARNEGAT, NJ 08005

Firm CRD#: **316822**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	12/01/2022
B	FINRA	Operations Professional	Approved	12/01/2022
B	FINRA	General Securities Principal	Approved	04/02/2026
B	FINRA	General Securities Representative	Approved	04/02/2026

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Broker Qualifications

Employment 7 of 10, continued

Branch Office Locations

TRADE CAPITAL MARKETS (TCM) NORTH AMERICA LLC
900 BARNEGAT BLVD N
UNIT 102
BARNEGAT, NJ 08005

TRADE CAPITAL MARKETS (TCM) NORTH AMERICA LLC
Barnegat, NJ

Employment 8 of 10

Firm Name: **TRADIER BROKERAGE, INC.**

Main Office Address: **3420 TORINGDON WAY SUITE 300**
CHARLOTTE, NC 28277

Firm CRD#: **104982**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	03/30/2020

Branch Office Locations

TRADIER BROKERAGE, INC.
3420 TORINGDON WAY SUITE 300
CHARLOTTE, NC 28277

TRADIER BROKERAGE, INC.
3420 TORINGDON WAY SUITE 300
CHARLOTTE, NC 28277

Employment 9 of 10

Firm Name: **USMART CAPITAL, LLC**

Main Office Address: **515 MADISON AVE.**
SUITE 9023
NEW YORK, NY 10022

Firm CRD#: **329365**

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Broker Qualifications

Employment 9 of 10, continued

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	11/19/2025
B	FINRA	Operations Professional	Approved	11/19/2025
B	NYSE American LLC	Financial and Operations Principal	Approved	05/05/2026
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	11/19/2025
B	New York Stock Exchange	Financial and Operations Principal	Approved	05/05/2026

Branch Office Locations

USMART CAPITAL, LLC
515 MADISON AVE.
SUITE 9023
NEW YORK, NY 10022

USMART CAPITAL, LLC
515 MADISON AVE.
SUITE 9023
NEW YORK, NY 10022

Employment 10 of 10

Firm Name: **VISIONS ANALYSIS LLC**

Main Office Address: **24 MCKINLEY AVENUE**
ENDICOTT, NY 13760

Firm CRD#: **286678**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	08/25/2017
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

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Broker Qualifications

Employment 10 of 10, continued

VISIONS ANALYSIS LLC
24 MCKINLEY AVENUE
ENDICOTT, NY 13760

VISIONS ANALYSIS LLC
24 MCKINLEY AVENUE
ENDICOTT, NY 13760

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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 8 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 - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	Financial and Operations Principal Examination	Series 27	07/31/2003
B	Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	11/02/2000
B	Municipal Securities Principal Examination	Series 53	07/01/1998
B	Compliance Officer Examination	Series 14	01/25/1997
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	09/04/1996
B	General Securities Principal Examination	Series 24	03/18/1996

General Industry/Product Exams

Exam		Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Research Analyst Exam - Part I Analysis Module	Series 86	01/06/2005
B	Research Analyst Exam - Part II Regulations Module	Series 87	10/28/2004
B	Limited Representative-Equity Trader Exam	Series 55	03/22/1999
B	General Securities Representative Examination	Series 7	07/31/1995

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Broker Qualifications

Industry Exams this Broker has Passed, continued

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	10/18/1999
B	Uniform Securities Agent State Law Examination	Series 63	07/05/1996

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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 - 08/2026	BRYANT PARK CAPITAL SECURITIES, INC.	20433	BLUE BELL, PA
B	04/2025 - 11/2025	AMVEST CAPITAL SECURITIES LLC	329978	NEW YORK, NY
B	07/2012 - 05/2025	MARSHBERRY CAPITAL, LLC.	157384	WOODMERE, OH
B	11/2018 - 03/2024	AVENUE SECURITIES LLC	292589	MIAMI, FL
B	06/2021 - 01/2024	VESTFI INC.	312624	Miami, FL
B	02/2015 - 11/2023	AFS SECURITIES, LLC	171819	BOSTON, MA
B	07/2021 - 03/2023	I(X) SECURITIES, LLC	158821	NEW YORK, NY
B	04/2014 - 09/2022	VCP APEX (US)	169090	NEW YORK, NY
B	10/2021 - 08/2022	DECHEQUE SECURITIES LLC	311020	DRAPER, UT
B	06/2019 - 04/2022	PASSFOLIO SECURITIES, LLC	299874	SAN FRANCISCO, CA
B	12/2020 - 04/2022	ALBERT SECURITIES, LLC	305928	SANTA BARBARA, CA
B	01/2009 - 02/2022	LIBERUM	148135	NEW YORK, NY
B	05/2019 - 01/2022	OPTIONS AI FINANCIAL LLC	298008	NEW YORK, NY
B	11/2012 - 01/2022	FGC SECURITIES, LLC	158399	NEW YORK, NY
B	06/2018 - 01/2022	180 DEGREE CAPITAL BD, LLC	290955	PHOENIX, AZ
B	03/2011 - 10/2020	MAA - MENTOR ALTERNATIVE ADVISORS LLC	154411	GREENWICH, CT
B	02/2019 - 09/2020	DALKEITH GROUP, LLC	298367	HIGH FALLS, NY
B	09/2018 - 07/2020	MHL INVESTMENTS	2535	MIDVALE, UT
B	11/2017 - 05/2020	AUCTUS SECURITIES, LLC	148248	NEW YORK, NY
B	03/2017 - 02/2020	SIXTEEN SECURITIES, INC.	104025	SOUTH MIAMI, FL
B	03/2019 - 07/2019	TRADE APP	297470	NASHVILLE, TN

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Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	01/2017 - 06/2019	PETERSEN INVESTMENTS, INC.	38537	LOCH ARBOUR, NJ
B	02/2009 - 06/2019	WORDEN CAPITAL MANAGEMENT LLC	148366	NEW YORK, NY
B	11/2008 - 12/2018	CFR-INC.	148109	REDMOND, WA
B	10/2007 - 12/2018	CLARKESON RESEARCH INC.	143868	OYSTER BAY, NY
B	07/2016 - 12/2017	MODERN EQUITY SERVICES LLC	159040	LAKEWOOD, CO
B	09/2015 - 12/2017	TRADIER BROKERAGE, INC.	104982	CHARLOTTE, NC
B	04/2016 - 10/2017	RLJ CAPITAL MARKETS, LLC	281119	BETHESDA, MD
B	01/2015 - 08/2017	RMK CAPITAL	171807	New York, NY
B	09/2015 - 06/2017	IMPACTIVE ADVISORS LLC	208514	NASHVILLE, TN
B	02/2008 - 01/2016	BCW SECURITIES LLC	144930	WESTPORT, CT
B	01/2008 - 01/2016	SALOMON WHITNEY FINANCIAL	145012	MELVILLE, NY
B	05/2007 - 11/2015	TRIPOINT GLOBAL EQUITIES, LLC	143174	NEW YORK, NY
B	07/2009 - 05/2015	LBC CAPITAL PARTNERS LLC	148245	WASHINGTON, DC
B	09/2011 - 04/2014	VTB CAPITAL INC.	156048	NEW YORK, NY
B	04/2012 - 12/2013	TSG SPECTRUM CAPITAL ADVISORS, LLC	157805	ALEXANDRIA, VA
B	01/2006 - 06/2013	MEDALIST SECURITIES INC.	136356	RICHMOND, VA
B	05/2005 - 11/2012	ATLANTIC EQUITIES, LLC	121669	GREENWICH, CT
B	07/2007 - 08/2012	CHURCHILL CAPITAL USA, INC.	143278	NEW YORK, NY
B	11/2007 - 07/2012	CREDIT SUISSE PRIVATE ADVISORS AG	112892	ZURICH, SWITZERLAND
B	11/2005 - 12/2011	SCOTTISH RE CAPITAL MARKETS, INC	135708	CHARLOTTE, NC
B	03/2011 - 11/2011	RSG CAPITAL CORP.	142339	DELRAY BEACH, FL
B	01/2006 - 10/2011	ALDERMAN & COMPANY CAPITAL, LLC	136492	DANBURY, CT

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Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	11/2003 - 10/2011	CREATION CAPITAL LLC	113912	SYOSSET, NY
B	01/2005 - 09/2011	BROADWAY DIRECT INVESTMENTS, LLC	132475	NEW YORK, NY
B	01/2009 - 08/2011	CROSS BORDER PRIVATE CAPITAL, L.L.C.	41054	NEW YORK, NY
B	01/2009 - 06/2011	RK EQUITY CAPITAL MARKETS LLC	148084	NEW YORK, NY
B	03/2006 - 05/2011	RLSP ASSOCIATES, LLC	47220	GREENWICH, CT
B	06/2010 - 12/2010	UMTB SECURITIES INC.	142289	NEW YORK, NY
B	08/2008 - 08/2009	VIEW PARTNERS CAPITAL LLC	146522	NEW YORK, NY
B	03/2007 - 06/2009	RSG CAPITAL CORP.	142339	DELRAY BEACH, FL
B	12/2005 - 01/2009	THOMAS MCDONALD PARTNERS, LLC	135414	CLEVELAND, OH
B	08/2006 - 10/2008	PARK MADISON PARTNERS LLC	140016	PORT WASHINGTON, NY
B	01/2006 - 05/2008	WINDHAM SECURITIES, INC.	20529	HUNTINGTON, NY
B	08/2006 - 03/2008	LFC SECURITIES, LLC	136952	WASHINGTON, DC
B	08/2004 - 10/2007	THREE CROWNS CAPITAL (BERMUDA) LIMITED	128640	HAMILTON
B	05/2002 - 12/2006	GREAT LAKES CAPITAL PARTNERS LTD.	119995	WESTLAKE, OH
B	04/2005 - 04/2006	MGS MARKET GUIDANCE SECURITIES, LLC	133407	JACKSON, NJ
B	06/2005 - 01/2006	BURNS FINANCIAL CENTRE, INC.	133545	BRECKSVILLE, OH
B	07/2002 - 06/2005	THE KELLEY GROUP, INC.	45757	NORFOLK, MA
B	01/2005 - 02/2005	CHARLES STREET SECURITIES, INC.	14216	LONDON, UNITED KINGDOM
B	07/2004 - 09/2004	PARETO SECURITIES LP	130497	NEW YORK, NY
B	10/1999 - 06/2003	M&T SECURITIES, INC.	17358	BALTIMORE, MD
B	10/1997 - 11/1999	MCDONALD INVESTMENTS INC.	566	CLEVELAND, OH
B	06/1996 - 11/1997	FIDELITY BROKERAGE SERVICES, INC.	7784	SMITHFIELD, RI

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Registration and Employment History

Registration History, continued

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
07/2026 - Present	Campbell Lutyens & Co. Inc.	FINOP	Y	New York, NY, United States
10/2025 - Present	uSmart (USA)	FinOp	Y	New York, NY, United States
06/2023 - Present	Modern Private Equity Partners, LLC	FINOP, GSP, Owner	Y	Spencer, TN, United States
09/2021 - Present	Conduent Securities LLC	FINOP	Y	New York, NY, United States
09/2021 - Present	Trade Capital Markets (TCM) North America LLC	FinOp, GSP	Y	New York, NY, United States
04/2021 - Present	Rose & Co. Capital Advisors, LLC	FINOP	Y	New York, NY, United States
03/2020 - Present	TRADIER BROKERAGE, INC.	FINOP	Y	CHARLOTTTE, NC, United States
01/2017 - Present	Visions Analysis LLC	FINOP	Y	Endicott, NY, United States
09/2013 - Present	LIFESCI CAPITAL	FINOP	Y	NEW YORK, NY, United States
08/2010 - Present	BAADER HELVEA INC.	FINOP	Y	NEW YORK, NY, United States
08/2016 - 08/2026	Bryant Park Capital Securities, Inc.	FINOP	Y	New York, NY, United States
02/2024 - 10/2025	Amvest Capital Securities LLC	FinOp	Y	New York, NY, United States
05/2012 - 05/2025	MARSHBERRY CAPITAL, INC.	FINOP	Y	WILLOUGHBY, OH, United States
02/2018 - 03/2024	Avenue Securities LLC	FINOP	Y	Miami, FL, United States
02/2021 - 01/2024	Vestfi, Inc.	FINOP	Y	Austin, TX, United States
06/2014 - 11/2023	AFS SECURITIES, LLC	FINOP	Y	Cambridge, MA, United States
07/2021 - 03/2023	I(X) Securities, LLC	FINOP	Y	New York, NY, United States
09/2013 - 09/2022	VCP ADVISORS LLC	FINOP	Y	London, United Kingdom

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2020 - 08/2022	Decheque Securities LLC	FINOP	Y	Salt Lake City, UT, United States
03/2022 - 06/2022	Investment Net Securities LLC	FinOp	Y	Jackson, NJ, United States
10/2019 - 04/2022	Albert Securities, LLC	FINOP	Y	Culver City, CA, United States
12/2018 - 04/2022	Passfolio Securities, LLC	FINOP	Y	San Francisco, CA, United States
08/2008 - 02/2022	LIBERUM CAPITAL INC	FINOP	Y	NEW YORK, NY, United States
08/2018 - 01/2022	Options AI Financial LLC	FINOP	Y	New York, NY, United States
10/2017 - 01/2022	180 Degree Capital BD, LLC	FINOP	Y	Montclair, NJ, United States
03/2012 - 01/2022	FGC SECURITIES, LLC	FINOP	Y	NEW YORK, NY, United States
06/2010 - 10/2020	MAA-MENTOR ALTERNATIVE ADVISORS LLC	FINOP	Y	GREENWICH, CT, United States
08/2018 - 08/2020	Dalkeith Group, LLC	FINOP	Y	High Falls, NY, United States
09/2018 - 05/2020	M. H. Leblang, Inc.	FINOP	Y	Sandy, UT, United States
11/2017 - 04/2020	Auctus Securities, LLC	FINOP	Y	Chicago, IL, United States
02/2017 - 02/2020	Sixteen Securities, Inc.	FINOP	Y	Miami, FL, United States
08/2018 - 06/2019	ST Invest LLC	FinOP	Y	New York, NY, United States
01/2017 - 05/2019	PETERSEN INVESTMENTS, INC.	FINOP	Y	Wall, NJ, United States
08/2008 - 04/2019	WORDEN CAPITAL MANAGEMENT LLC	FINOP	Y	NEW YORK, NY, United States
05/2008 - 12/2018	CFR-INC.	FINOP, CFO	Y	REDMOND, WA, United States
01/2007 - 12/2018	CLARKESON RESEARCH INC.	FINOP, CFO	Y	OYSTER BAY, NY, United States
07/2016 - 12/2017	Modern Equity Services LLC	FINOP	Y	North Liberty, IA, United States
09/2015 - 11/2017	Tradier Brokerage, Inc.	FINOP	Y	Charlotte, NC, United States
10/2015 - 10/2017	RLJ Capital Markets, LLC	FINOP	Y	Bethesda, MD, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2015 - 07/2017	RMK CAPITAL	FINOP	Y	NEW YORK, NY, United States
04/2015 - 06/2017	Impactive Advisors LLC	FINOP	Y	NASHVILLE, TN, United States
12/2012 - 04/2017	Modern Equity Services LLC	Member	Y	Jackson, NJ, 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. crc-oyster, non investment-related, Broker/Dealer Consulting, Director, July 2026, 40 Exchange Place, Suite 402, New York, NY 10005, 170 hrs/mnth of which 160 hrs/month are during securities trading hours, Through crc-oystrer I provide FINOP and other regulatory services to multiple FINRA Broker/Dealers.

2. Flowerwood Club Park Association Inc., Non Investment-Related, 2915 58th Avenue North St Petersburg, FL 33714, 55+ Residential Community, Director, February 1, 2025, Hours per month - 4, Hours during securities trading - 0.

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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.
   -
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.
   -
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
Customer Dispute	0	1	N/A

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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.

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:	Worden Capital Management LLC
Allegations:	Failure to supervise
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$52,783.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DR
Docket/Case #:	18-02389
Date Notice/Process Served:	08/27/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/12/2019
Monetary Compensation Amount:	$4,800.00
Individual Contribution Amount:	$0.00

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Firm Statement	Representative was named in the arbitration by a non-attorney, third-party arbitration cold-calling solicitation company, representing the customer, solely on the basis that they appear on the publicly available Schedule A of Form BD. They had no direct supervisory oversight of the registered representative (also named in the action) nor the client's account at any time during the duration of the account.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Worden Capital Management LLC
Allegations:	Failure to supervise
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$52,783.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DR
Docket/Case #:	18-02389
Date Notice/Process Served:	08/27/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/12/2019
Monetary Compensation Amount:	$4,800.00
Individual Contribution Amount:	$0.00
Broker Statement	Representative was named in the arbitration by a non-attorney, third-party arbitration cold-calling solicitation company, representing the customer, solely on the basis that they appear on the publicly available Schedule A of Form BD. They had no direct supervisory oversight of the registered representative (also named in the action) nor the client's account at any time during the duration of the account.

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End of Report

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