

BrokerCheck Report

STEPHEN JERRY STURGILL

CRD# 2877403

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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 J. STURGILL**

CRD# 2877403

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

- B** **CAPSTONE PARTNERS**
 2670 S. Eagle Road
 Meridian, ID 83642
 CRD# 132185
 Registered with this firm since: 05/15/2018

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
- 2 U.S. states and territories

This broker has passed:

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

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

- B** **GALENA CAPITAL**
 CRD# 297375
 Boise, ID
 02/2019 - 02/2024
- B** **HEADWATERS BD, LLC**
 CRD# 117042
 DENVER, CO
 01/2011 - 11/2018
- B** **OUTLOOK CAPITAL CORPORATION**
 CRD# 43032
 PARK CITY, UT
 05/2000 - 12/2001

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 2 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **CAPSTONE PARTNERS**
Main Office Address: **10 POST OFFICE SQUARE
SUITE 800N
BOSTON, MA 02109**
Firm CRD#: **132185**

SRO	Category	Status	Date
<div>B</div> FINRA	Investment Banking Representative	Approved	05/15/2018

U.S. State/ Territory	Category	Status	Date
<div>B</div> Colorado	Agent	Approved	05/15/2018
<div>B</div> Idaho	Agent	Approved	01/08/2025

Branch Office Locations

CAPSTONE PARTNERS
2670 S. Eagle Road
Meridian, ID 83642



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/21/2018

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	12/11/2018
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Banking Registered Representative Examination	Series 79	01/07/2011
B General Securities Representative Examination	Series 7	05/30/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/11/2018
B IA Uniform Combined State Law Examination	Series 66	05/31/2000

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 02/2019 - 02/2024	GALENA CAPITAL	297375	Boise, ID
B 01/2011 - 11/2018	HEADWATERS BD, LLC	117042	DENVER, CO
B 05/2000 - 12/2001	OUTLOOK CAPITAL CORPORATION	43032	PARK CITY, UT

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
01/2018 - Present	CAPSTONE PARTNERS	Managing Director	Y	Boston, MA, United States
07/2010 - 01/2018	HEADWATERS BD, LLC	MANAGING DIRECTOR	Y	DENVER, CO, 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. Interfaith Sanctuary Housing Services, Inc. / N / Boise, ID / Homeless shelter / Member of board of directors / 03/17/2017 / 2-4 hours per month / 0 hours per month during trading hours/ One board meeting per month and unscheduled volunteer activities / \$0 annual compensation / No ownership interest
2. Galena Capital Partners Inc. / Y / Boise, ID / Investment banking, financial advisory / Managing partner / 02/17/2018 / 40+ hours per month / variable hours per month during trading hours / Dual registration with FINRA approved. Manage team of registered representatives. / \$20,000-30,000 annual compensation / 50% ownership interest
3. Pesky Foundation / N / Boise, ID / Endowment for non-profit Lee Pesky Learning Center / Board member / 02/01/2022 / 2 hours per month / 0 hours per month during trading hours / Attend periodic board meetings re management of endowment investment funds / \$0 annual compensation / No ownership interest
4. Boise Philharmonic Symphony & Orchestra
Type of OBA
Board Member / Committee Member



Registration and Employment History

Other Business Activities, continued

Title/Position

Board member, chairman of Finance Committee, Treasurer and member of Executive Committee

Duties and Responsibilities

Attend committee and board meetings

Start Date of Activity

09/15/2023

Address of Business

516 S Ninth Street, Boise, ID 83702

Is this business investment related?

No

Number of hours dedicated to this OBA monthly

0-5 hours

Number of hours dedicated to this OBA during market hours monthly

0-5 hours

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Type of OBA

Board Member / Committee Member

Title/Position

Member of Advisory Board

Duties and Responsibilities

Provide occasional input on strategy for company offering AI platform for digital twining

Start Date of Activity

01/01/2024

Address of Business

c/o Wilson Sonsini Eden House 8 Spital Square London E1 6DU

Is this business investment related?

No

Number of hours dedicated to this OBA monthly

0-5 hours

Number of hours dedicated to this OBA during market hours monthly

0-5 hours

End of Report



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