

## BrokerCheck Report

**GEORGE JAMES STANEVICH**

CRD# 4361652

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**GEORGE J. STANEVICH**

CRD# 4361652

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

- B FIRST TRUST PORTFOLIOS L.P.**  
 120 E. LIBERTY DRIVE  
 SUITE 400  
 WHEATON, IL 60187  
 CRD# 28519  
 Registered with this firm since: 07/28/2025

**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:**

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

**Registration History**

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

- B JANUS HENDERSON DISTRIBUTORS US LLC**  
 CRD# 28832  
 DENVER, CO  
 04/2015 - 07/2025
- B NEUBERGER BERMAN LLC**  
 CRD# 2908  
 NEW YORK, NY  
 03/2011 - 03/2015
- B NEUBERGER BERMAN MANAGEMENT LLC**  
 CRD# 5493  
 NEW YORK, NY  
 06/2001 - 03/2015

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

### Employment 1 of 1

Firm Name: **FIRST TRUST PORTFOLIOS L.P.**

Main Office Address: **120 E. LIBERTY DRIVE  
SUITE 400  
WHEATON, IL 60187**

Firm CRD#: **28519**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	07/28/2025
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	07/28/2025
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	07/28/2025

U.S. State/ Territory	Category	Status	Date
<b>B</b> Illinois	Agent	Approved	07/31/2025
<b>B</b> New York	Agent	Approved	07/28/2025

### Branch Office Locations

**FIRST TRUST PORTFOLIOS L.P.**  
120 E. LIBERTY DRIVE  
SUITE 400  
WHEATON, IL 60187



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	04/01/2003
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/23/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	05/30/2002
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	04/12/2001

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/30/2011
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/30/2001

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/](http://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>B</b> 04/2015 - 07/2025	JANUS HENDERSON DISTRIBUTORS US LLC	28832	DENVER, CO
<b>B</b> 03/2011 - 03/2015	NEUBERGER BERMAN LLC	2908	NEW YORK, NY
<b>B</b> 06/2001 - 03/2015	NEUBERGER BERMAN MANAGEMENT LLC	5493	NEW YORK, NY

### 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
07/2025 - Present	FIRST TRUST ADVISORS L.P.	OUTSIDE WHOLESALER	Y	WHEATON, IL, United States
07/2025 - Present	FIRST TRUST PORTFOLIOS L.P.	OUTSIDE WHOLESALER	Y	WHEATON, IL, United States
01/2022 - 07/2025	Janus Henderson Distributors US LLC	Registered Representative	Y	Denver, CO, United States
01/2021 - 07/2025	Janus Henderson Investors US LLC	Director, Advisor Solutions Group	Y	Denver, CO, United States
04/2015 - 01/2022	JANUS DISTRIBUTORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
04/2015 - 01/2021	JANUS MANAGEMENT HOLDINGS CORP	DIRECTOR ASG - NE DIVISION	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.

No information reported.

# Registration and Employment History

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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.
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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
Criminal	0	1	0



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Organization Name (if charge(s) were brought against an organization over which broker exercised control):</b>	N/A
<b>Court Details:</b>	FIRST DISTRICT COURT OF NASSAU COUNTY, MINEOLA, NEW YORK DOCKET NO. 32380/96
<b>Charge Date:</b>	10/19/1996
<b>Charge Details:</b>	1 COUNT CRIMINAL MISCHIEF IN THE THIRD DEGREE UNDER NY STATE PENAL LAW ARTICLE 145.05. A CLASS E FELONY FOR WHICH MR. STANEVICH PLEAD NOT GUILTY. CHARGE IS NOT INVESTMENT RELATED
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/09/1997
<b>Disposition Details:</b>	ON 1/9/1997 MR. STANEVICH PLEAD GUILTY TO A LESSER CHARGE OF DISORDERLY CONDUCT (A VIOLATION) UNDER NY PENAL LAW 240.20 WITH A 1 YEAR CONDITIONAL DISCHARGE BEGINING 1/9/1997 AND \$100.00 FINE WHICH WAS PAID 2/4/1997.
<b>Broker Statement</b>	ON 10/18/96 I WAS ATTENDING COLLEGE ON LONG ISLAND, NY. THAT EVENING MY ROOMMATE AND A GROUP OF FRIENDS INCLUDING MYSELF WERE DROPPED OFF AT AN OFF-CAMPUS PARTY. AFTER THE PARTY WE



WERE OFFERED A RIDE BACK TO CAMPUS FROM A FEMALE ACQUAINTANCE OF MY ROOMMATE. WHEN WE ARRIVED AT THE CAR THE FEMALE NOTICED THAT THE CAR ANTENNA WAS BROKEN AND HANGING OFF THE SIDE OF THE CAR. AT THIS POINT SHE WAS UPSET AND STARTING GETTING INAPPROPRIATELY ANGRY. AS WE WERE DRIVING BACK TO CAMPUS, ONE OF THE PASSENGERS ACCIDENTALLY DAMAGED THE CEILING OF THE CAR WITH A LIT CIGARETTE. SHE PULLED THE CAR OVER AND AGAIN BECAME ANGRY AND TOLD US TO WALK HOME. THE PERSON RESPONSIBLE FOR THE CIGARETTE BURN APOLOGIZED AND TOLD HER HE WOULD PAY FOR IT. EARLY THE NEXT MORNING (10/19/1996) CAMPUS SECURITY KNOCKED ON THE DOOR AND SAID THAT THE NASSAU COUNTY POLICE WANTED TO ASK US SOME QUESTIONS REGARDING DAMAGE TO A FEMALE'S VEHICLE. AFTER THEY QUESTIONED US FOR A WHILE IT WAS DETERMINED THAT THERE WERE CONTRADICTORY STORIES REGARDING THE INCIDENT. THEY PROCEEDED TO CHARGE US FOR THE DAMAGE TO THE VEHICLE, WHICH THEY CLAIMED, WAS IN EXCESS OF \$1,000.00 PROMPTING A FELONY CHARGE. AT THE COURTHOUSE THAT MORNING I WAS RELEASED WITHOUT BAIL AND RETURNED BACK TO CAMPUS. WHEN WE RETURNED FOR MY FIRST COURT APPEARANCE IT WAS POSTPONED BECAUSE THE DISTRICT ATTORNEY COULD NOT CONTACT THE PLAINTIFF. AFTER THANKSGIVING RECESS I RETURNED TO COURT AGAIN AND THE HEARING WAS POSTPONED FOR THE SAME REASONS. WHEN I RETURNED ON 1/09/1997 TO DEAL WITH THE CASE PERTAINING TO DOCKET # 32380/96 I WAS INFORMED THE COURT THAT THE PLAINTIFF WAS BEING DETAINED IN A [REDACTED] CENTER IN DELAWARE FOLLOWING AN ARREST FOR CREDIT CARD FRAUD. THE JUDGE RECOMMENDED TO MY ATTORNEY THAT I PLEAD GUILTY TO A VIOLATION IN ORDER TO COVER COURT COSTS IN THIS MATTER. I PLEAD GUILTY TO A VIOLATION UNDER NY PENAL CODE 240.20 DISORDERLY CONDUCT AND PAID A \$100.00 FINE FOR THIS MATTER.

## End of Report



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