

BrokerCheck Report

AARON ISAAC BRACHMAN

CRD# 4578328

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



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.

**AARON I. BRACHMAN**

CRD# 4578328

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

IA STEWARD PARTNERS INVESTMENT ADVISORY, LLC
 1776 I ST. NW
 STE. 700
 WASHINGTON, DC 20006
 CRD# 283004
 Registered with this firm since: 06/06/2016

B STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
 1776 I STREET NW
 SUITE 700
 WASHINGTON, DC 20006
 CRD# 1254
 Registered with this firm since: 05/27/2022

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
- 38 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B RAYMOND JAMES FINANCIAL SERVICES, INC.**
 CRD# 6694
 WASHINGTON, DC
 05/2016 - 05/2022
- IA RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 NEW YORK, NY
 03/2009 - 06/2016
- B RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 CHEVY CHASE, MD
 03/2009 - 06/2016

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

Employment 1 of 2

Firm Name: **STEWART PARTNERS INVESTMENT ADVISORY, LLC**

Main Office Address: **400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512**

Firm CRD#: **283004**

	U.S. State/ Territory	Category	Status	Date
IA	District of Columbia	Investment Adviser Representative	Approved	06/06/2016
IA	Texas	Investment Adviser Representative	Approved	07/29/2016
IA	Virginia	Investment Adviser Representative	Approved	04/01/2021

Branch Office Locations

400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512

1776 I ST. NW
STE. 700
WASHINGTON, DC 20006

ARLINGTON, VA

Employment 2 of 2

Firm Name: **STEWART PARTNERS INVESTMENT SOLUTIONS, LLC**

Main Office Address: **15495 SW SEQUOIA PARKWAY**

Broker Qualifications



Employment 2 of 2, continued

SUITE 150
PORTLAND, OR 97224

Firm CRD#: 1254

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	05/27/2022

U.S. State/ Territory	Category	Status	Date
B Arkansas	Agent	Approved	10/21/2025
B California	Agent	Approved	05/27/2022
B Colorado	Agent	Approved	05/27/2022
B Connecticut	Agent	Approved	05/27/2022
B Delaware	Agent	Approved	05/27/2022
B District of Columbia	Agent	Approved	05/27/2022
B Florida	Agent	Approved	05/28/2022
B Georgia	Agent	Approved	05/27/2022
B Hawaii	Agent	Approved	05/27/2022
B Illinois	Agent	Approved	05/27/2022
B Indiana	Agent	Approved	05/27/2022
B Kentucky	Agent	Approved	05/27/2022
B Maine	Agent	Approved	05/27/2022
B Maryland	Agent	Approved	05/27/2022
B Massachusetts	Agent	Approved	05/27/2022
B Michigan	Agent	Approved	05/27/2022
B Minnesota	Agent	Approved	05/27/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	05/27/2022
B	Montana	Agent	Approved	09/23/2022
B	Nevada	Agent	Approved	01/05/2024
B	New Hampshire	Agent	Approved	05/27/2022
B	New Jersey	Agent	Approved	05/27/2022
B	New Mexico	Agent	Approved	11/11/2022
B	New York	Agent	Approved	05/27/2022
B	North Carolina	Agent	Approved	05/27/2022
B	Ohio	Agent	Approved	05/27/2022
B	Oklahoma	Agent	Approved	06/06/2025
B	Oregon	Agent	Approved	07/14/2023
B	Pennsylvania	Agent	Approved	05/27/2022
B	Rhode Island	Agent	Approved	05/27/2022
B	South Carolina	Agent	Approved	05/27/2022
B	Tennessee	Agent	Approved	05/27/2022
B	Texas	Agent	Approved	05/27/2022
B	Utah	Agent	Approved	05/27/2022
B	Virginia	Agent	Approved	05/27/2022
B	Washington	Agent	Approved	05/27/2022
B	Wisconsin	Agent	Approved	01/13/2025
B	Wyoming	Agent	Approved	11/18/2022

Broker Qualifications



Employment 2 of 2, continued

Branch Office Locations

STEWART PARTNERS INVESTMENT SOLUTIONS, LLC
1776 I STREET NW
SUITE 700
WASHINGTON, DC 20006



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, 3 general industry/product exams, and 1 state securities law exam.

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 Futures Managed Funds Examination	Series 31	06/30/2008
B General Securities Representative Examination	Series 7	09/09/2002

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/17/2003

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/2016 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	WASHINGTON, DC
B 03/2009 - 06/2016	RBC CAPITAL MARKETS, LLC	31194	CHEVY CHASE, MD
IA 03/2009 - 06/2016	RBC CAPITAL MARKETS, LLC	31194	CHEVY CHASE, MD
IA 04/2003 - 03/2009	FERRIS, BAKER WATTS, LLC	285	WASHINGTON, DC
B 09/2002 - 03/2009	FERRIS, BAKER WATTS, LLC	285	WASHINGTON, DC

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
05/2022 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	Registered Representative	Y	WASHINGTON, DC, United States
05/2016 - Present	STEWARD PARTNERS INVESTMENT ADVISORY LLC	Investment Advisor Representative	Y	WASHINGTON, DC, United States
05/2016 - Present	Steward Partners Global Advisory	EMPLOYEE	N	Washington, DC, United States
05/2016 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	WASHINGTON, DC, United States
03/2009 - 05/2016	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	WASHINGTON, DC, 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.



Registration and Employment History

Other Business Activities, continued

(1) Name of Business: Ethos ESG Address: 1113 N Sycamore St, Arlington, VA, 22205, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: Yes Start Date: 09/17/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I will provide them with Strategic Guidance

(2) Name of Business: Passive Owner Address: 1113 N Sycamore St, Arlington, VA, 22205, United States Activity Type: Other Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/01/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I own investment real estate that is rented out to family members

(3) Name of Business: Rental Real Estate Address: 1113 N Sycamore St, Arlington, VA, 22205, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 01/15/2015 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:

(4) Name of Business: Steward Partners Global Advisory Address: 1776 I St NW Ste 700, Washington, DC, 20006, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: No Start Date: 06/14/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Install Insurance Products Listed

(5) Name of Business: Steward Partners Investment Advisory LLC Address: 1776 I St NW Ste 700, Washington, DC, 20006, United States Activity Type: Independent RIA Position/Title: Partner Investment Related: Yes; Start Date: 05/25/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Provide advisory services for clients

(6) Name of Business: The Washington Wealth Group Address: 1776 I St NW Ste 700, Washington, DC, 20006, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 05/24/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: FA

(7) Name of Business: Real Estate Rental; City/State: Amissville, VA; Activity Type: Real Estate Rental; Position/Title: Owner; Investment Related: Yes; Start Date: 11/01/2019; Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner.

(8) Name of Business: PA Real Estate Rental; City/State: Broomall, PA; Activity Type: Real Estate Rental; Position/Title: Owner; Investment Related: No; Start Date: 1/1/2014; Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner.

(9) Name of Business: Bethany Beach Real Estate Rental; City/State: Bethany Beach, DE; Activity Type: Real Estate Rental; Position/Title: Owner; Investment Related: No; Start Date: 03/22/2024; Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner.

(10) Name of Business: Bethany Beach Condo HOA; City/State: Bethany Beach, DE; Activity Type: Board Member; Position/Title: At Large Member; Nature of Business: HOA; Duties: General Board Member Duties; Start Date: 11/25/2024; 5 HR/MO devoted to activity; 0 HRS/MO devoted during trading hours; Not investment related.

End of Report



This page is intentionally left blank.