

## BrokerCheck Report

**STEPHEN DOUGLAS GOW**

CRD# 4586870

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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](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).

**STEPHEN D. GOW**

CRD# 4586870

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

**IA TRUIST ADVISORY SERVICES, INC.**  
 919 E MAIN ST  
 FL 5  
 RICHMOND, VA 23219  
 CRD# 283390  
 Registered with this firm since: 02/17/2021

**B TRUIST INVESTMENT SERVICES, INC.**  
 919 E MAIN ST  
 FL 5 & 7  
 RICHMOND, VA 23219  
 CRD# 17499  
 Registered with this firm since: 02/17/2021

**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
- 32 U.S. states and territories

**This broker has passed:**

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

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

- B BB&T SECURITIES, LLC**  
 CRD# 142785  
 RICHMOND, VA  
 01/2013 - 02/2021
- IA BB&T SECURITIES, LLC**  
 CRD# 142785  
 RICHMOND, VA  
 01/2013 - 02/2021
- IA SCOTT & STRINGFELLOW, LLC**  
 CRD# 6255  
 RICHMOND, VA  
 01/2003 - 01/2013

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

### Employment 1 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Office Address: **303 PEACHTREE STREET  
2ND FLOOR  
ATLANTA, GA 30303**

Firm CRD#: **283390**

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	04/12/2021
IA	Virginia	Investment Adviser Representative	Approved	02/17/2021

### Branch Office Locations

919 E MAIN ST  
FL 5  
RICHMOND, VA 23219

### Employment 2 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Office Address: **303 PEACHTREE STREET  
2ND FLOOR  
ATLANTA, GA 30303**

Firm CRD#: **17499**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/17/2021
B	FINRA	General Securities Sales Supervisor	Approved	02/17/2021



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> FINRA	Registered Options Principal	Approved	02/17/2021
<b>B</b> FINRA	Securities Trader	Approved	02/17/2021

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	02/17/2021
<b>B</b> Arizona	Agent	Approved	02/17/2021
<b>B</b> California	Agent	Approved	02/17/2021
<b>B</b> Colorado	Agent	Approved	05/26/2021
<b>B</b> Connecticut	Agent	Approved	01/19/2023
<b>B</b> Delaware	Agent	Approved	02/18/2022
<b>B</b> District of Columbia	Agent	Approved	02/17/2021
<b>B</b> Florida	Agent	Approved	02/17/2021
<b>B</b> Georgia	Agent	Approved	02/17/2021
<b>B</b> Illinois	Agent	Approved	02/17/2021
<b>B</b> Indiana	Agent	Approved	02/17/2021
<b>B</b> Kentucky	Agent	Approved	06/12/2024
<b>B</b> Maryland	Agent	Approved	02/17/2021
<b>B</b> Massachusetts	Agent	Approved	02/17/2021
<b>B</b> Michigan	Agent	Approved	02/17/2021
<b>B</b> Minnesota	Agent	Approved	02/17/2021
<b>B</b> Montana	Agent	Approved	09/26/2025
<b>B</b> New Hampshire	Agent	Approved	02/17/2021



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	02/17/2021
B	New Mexico	Agent	Approved	02/17/2021
B	New York	Agent	Approved	02/17/2021
B	North Carolina	Agent	Approved	02/17/2021
B	Ohio	Agent	Approved	02/17/2021
B	Oregon	Agent	Approved	06/17/2024
B	Pennsylvania	Agent	Approved	02/17/2021
B	South Carolina	Agent	Approved	02/17/2021
B	Tennessee	Agent	Approved	02/17/2021
B	Texas	Agent	Approved	02/17/2021
B	Utah	Agent	Approved	02/17/2021
B	Virginia	Agent	Approved	02/17/2021
B	Washington	Agent	Approved	02/17/2021
B	West Virginia	Agent	Approved	02/17/2021

### Branch Office Locations

**TRUIST INVESTMENT SERVICES, INC.**  
 919 E MAIN ST  
 FL 5 & 7  
 RICHMOND, VA 23219



## 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, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	02/13/2006
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/18/2006
<b>B</b> Registered Options Principal Examination	Series 4	01/06/2006

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	04/12/2007
<b>B</b> General Securities Representative Examination	Series 7	11/08/2002

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	12/16/2002

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 **1** professional designation(s).

#### Chartered Financial Analyst

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>B</b> 01/2013 - 02/2021	BB&T SECURITIES, LLC	142785	RICHMOND, VA
<b>IA</b> 01/2013 - 02/2021	BB&T SECURITIES, LLC	142785	RICHMOND, VA
<b>IA</b> 01/2003 - 01/2013	SCOTT & STRINGFELLOW, LLC	6255	RICHMOND, VA
<b>B</b> 11/2002 - 01/2013	SCOTT & STRINGFELLOW, LLC	6255	RICHMOND, VA

### 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
02/2021 - Present	TRUIST ADVISORY SERVICES, INC.	Financial Advisor	Y	ATLANTA, GA, United States
02/2021 - Present	TRUIST INVESTMENT SERVICES, INC.	Financial Advisor	Y	RICHMOND, VA, United States
01/2013 - 02/2021	BB&T SECURITIES, LLC	FINANCIAL ADVISOR	Y	RICHMOND, VA, 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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