BrokerCheck Report

STEVEN TAYLOR GRANT

CRD# 826826

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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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.

STEVEN T. GRANT

CRD# 826826

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

B **GRANT WILLIAMS L.P.**
1650 MARKET STREET
53RD FLOOR
PHILADELPHIA, PA 19103
CRD# 45961
Registered with this firm since: 02/19/1999

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
- 9 U.S. states and territories

This broker has passed:

- 6 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**
CRD# 20804
SCOTTSDALE, AZ
08/1996 - 03/1999

B **COMMONWEALTH SECURITIES AND INVESTMENTS, INC.**
CRD# 7399
PITTSBURGH, PA
06/1990 - 07/1996

B **WCMI, INC.**
CRD# 24559
07/1989 - 07/1990

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
Regulatory Event	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 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **GRANT WILLIAMS L.P.**

Main Office Address: **1650 MARKET STREET**
53RD FLOOR
PHILADELPHIA, PA 19103

Firm CRD#: **45961**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	02/19/1999
B	FINRA	General Securities Principal	Approved	02/19/1999
B	FINRA	General Securities Representative	Approved	02/19/1999
B	FINRA	Municipal Securities Representative	Approved	02/19/1999
B	FINRA	Registered Options Principal	Approved	02/19/1999
B	FINRA	Municipal Securities Principal	Approved	12/23/1999
B	FINRA	Investment Banking Representative	Approved	11/03/2009
B	FINRA	Operations Professional	Approved	11/16/2011
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	12/15/2021
B	District of Columbia	Agent	Approved	09/29/2022
B	Florida	Agent	Approved	08/05/2005

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	07/27/2022
B	New Jersey	Agent	Approved	08/05/2005
B	Pennsylvania	Agent	Approved	03/02/1999
B	Texas	Agent	Approved	07/20/2007
B	Virginia	Agent	Approved	04/02/2013
B	Washington	Agent	Approved	07/02/2025

Branch Office Locations

GRANT WILLIAMS L.P.
1650 MARKET STREET
53RD FLOOR
PHILADELPHIA, PA 19103

GRANT WILLIAMS L.P.
1650 MARKET STREET
53RD FLOOR
PHILADELPHIA, PA 19103

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 6 principal/supervisory exams, 7 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/02/2023
B	Compliance Officer Examination	Series 14	01/02/2023
B	Municipal Securities Principal Examination	Series 53	12/22/1999
B	Registered Options Principal Examination	Series 4	03/02/1988
B	Financial and Operations Principal Examination	Series 27	06/24/1987
B	Registered Principal Examination	Series 40	09/27/1976

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	National Commodity Futures Examination	Series 3	11/08/2019
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	AMEX Put and Call Exam	PC	11/23/1981
B	General Securities Representative Examination	Series 7	08/21/1976

Broker Qualifications

Industry Exams this Broker has Passed, continued

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/11/1997

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	08/1996 - 03/1999	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	SCOTTSDALE, AZ
B	06/1990 - 07/1996	COMMONWEALTH SECURITIES AND INVESTMENTS, INC.	7399	PITTSBURGH, PA
B	07/1989 - 07/1990	WCMI, INC.	24559	
B	08/1976 - 08/1989	HESS, GRANT & COMPANY, INC.	2187	
B	09/1987 - 07/1988	AXELROD ASSOCIATES, INC.	17559	
B	03/1986 - 09/1986	AXELROD ASSOCIATES, INC.	17559	
B	09/1976 - 05/1979	REVERE MANAGEMENT CO., INC.	3167	

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
07/1998 - Present	GRANT WILLIAMS L.P.	NOT PROVIDED	Y	PHILADELPHIA, PA, United States
07/1996 - Present	CLARK CAPITAL MANGEMENT GROUP	OTHER - VP TAX FREE INVESTMENTS	N	PHILA, PA, 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.

CLARK CAPITAL MANAGEMENT GROUP - REGISTERED INVESTMENT ADVISOR, CFO
PORTFOLIO SOLUTIONS - HOLDING COMPANY OF PORTFOLIO PATHWAYS AND GRANT WILLIAMS LP, MANAGING DIRECTOR AND OWNER

Registration and Employment History

Other Business Activities, continued

H/G & CO, INC - HOLDING COMPANY, ALL IT OWNS IS EQUITIES (PUBLICLY TRADED), OWNER. MAINPOINT ADVISORS INC., WHICH IS A SEC REGISTERED INVESTMENT ADVISOR THAT SUB-ADVISES ONE INVESTMENT COMPANY REGISTERED UNDER THE INVESTMENT COMPANY ACT OF 1940. IT IS INVESTMENT RELATED. MR. GRANT ACTS AS CO-PRESIDENT AND CHIEF OPERATING OFFICER FOR THE ADVISER. THE POSITION BEGAN IN SEPTEMBER 2013.

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.
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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
Regulatory Event	0	1	0

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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/01/1990
Docket/Case Number:	PHL-886
Employing firm when activity occurred which led to the regulatory action:	HESS, GRANT & COMPANY, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	08/27/1992
Sanctions Ordered:	Censure Monetary/Fine $7,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NUMBER PHL-886 (DISTRICT NO. 11) FILED JUNE 1, 1990
AGAINST RESPONDENTS HESS, GRANT & COMPANY, INC., JAMES A.
GRANT
AND STEVEN T. GRANT ALLEGING VIOLATIONS OF ARTICLE III, SECTION
1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER,
ACTING THROUGH RESPONDENTS S. GRANT AND J. GRANT FAILED TO
REGISTER FIVE PERSONS WHO WERE ACTIVELY ENGAGED IN THE
INVESTMENT BANKING OR SECURITIES BUSINESS AS REPRESENTATIVES;
PERMITTED THESE PERSONS TO MAKE FALSE AND MISLEADING
REPRESENTATIONS TO THE PUBLIC THROUGH THE USE OF LETTERHEADS
AND OTHER FORMS OF COMMUNICATION; AND FAILED TO AMEND ITS
FORM
BD TO DISCLOSE ITS BRANCH OFFICE..
LTR: 08/05/96, TO BD# 20804, CODES: O,P,Q,T
DECISION RENDERED AUGUST 27, 1992 WHEREIN THE OFFER OF
SETTLEMENT SUBMITTED BY RESPONDENTS MEMBER, JAMES GRANT,
AND
STEVEN GRANT WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND
FINED $7,500, JOINTLY AND SEVERALLY.
$7,500.00 J&S PAID 9/9/92 INVOICE #92-9A-791

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/01/1990
Docket/Case Number:	PHL-886
Employing firm when activity occurred which led to the regulatory action:	HESS, GRANT & COMPANY, INC.
Product Type:	
Other Product Type(s):	
Allegations:	

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	08/27/1992
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD DISTRICT NO. 9
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/01/1990
Docket/Case Number:	PHL-886
Employing firm when activity occurred which led to the regulatory action:	HESS, GRANT & COMPANY, INC.
Product Type:	Debt - Municipal
Other Product Type(s):	
Allegations:	ALLEGED VIOLATIONS OF ARTICLE III,S 1 OF THE RULES OF FAIR PRACTICE; ALLEGED VIOLATIONS FAILURE TO COMPLY WITH ARTICLE IV, SECTION 1 OF THE ASSOCIATIONS BY-LAWS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	08/27/1992
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	UNDER THE TERMS OF THE SETTLEMENT THE

RESPONDENTS CONSENTED SOLELY TO SETTLE AND CONCLUDE THE PROCEEDING TO FINDINGS OF THE RULE VIOLATIONS AS ALLEGED IN THE COMPLAINT, WITHOUT ADMITTING OR DENYING THE TRUTH. THE RESPONDENTS HESS, GRANT & CO., INC., [THIRD PARTY] & STEVEN T. GRANT WERE FINED JOINTLY & SEVERALLY IN THE AMOUNT OF $7,500.00

Broker Statement	IT WAS ALLEGED THAT HESS, GRANT & CO., INC., ACTING THROUGH STEVEN T. GRANT & [THIRD PARTY], DURING JUNE AND JULY OF 1989 FAILED TO REGISTER AS REPRESENTATIVES, WHO WERE ENGAGED IN THE SECURITIES BUSINESS IN ITS HACKENSACK, N.J. OFFICE. ALSO, HESS, GRANT & CO., INC., ACTING THROUGH STEVE & [THIRD PARTY] FAILED TO COMPLY WITH SEC RULE 15B3-1, AND ARTICLE III, SECTION 1 (D) OF THE ASSOCIATIONS BYLAWS IN THAT IT FAILED TO AMEND ITS FORM BD.

End of Report

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