

## BrokerCheck Report

**STEVEN JOHN SKIJUS**

CRD# 827137

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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).

**STEVEN J. SKIJUS**

CRD# 827137

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

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

### Registration History

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

- B** **STERLING ENTERPRISES GROUP, INC.**  
CRD# 44915  
ST. PETERSBURG, FL  
10/2007 - 10/2008
- B** **INVEST FINANCIAL CORPORATION**  
CRD# 12984  
APPLETON, WI  
05/2005 - 01/2006
- B** **ING FINANCIAL PARTNERS, INC.**  
CRD# 2882  
WINDSOR, CT  
11/2004 - 06/2005

### Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## 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, 1 general industry/product exam, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Principal Examination	Series 40	09/09/1976

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> AMEX Put and Call Exam	PC	02/14/1994

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/15/1994
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/19/1983

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 10/2007 - 10/2008	STERLING ENTERPRISES GROUP, INC.	44915	ST. PETERSBURG, FL
<b>B</b> 05/2005 - 01/2006	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
<b>B</b> 11/2004 - 06/2005	ING FINANCIAL PARTNERS, INC.	2882	WINDSOR, CT
<b>B</b> 12/2003 - 11/2004	NFP SECURITIES, INC.	42046	AUSTIN, TX
<b>B</b> 01/2000 - 11/2003	ALLEN & COMPANY OF FLORIDA, INC.	25	LAKELAND, FL
<b>B</b> 08/1998 - 01/2000	LIBERTY SECURITIES CORPORATION	14416	PURCHASE, NY
<b>B</b> 02/1997 - 01/2000	SOUTHTRUST SECURITIES, INC.	17922	BIRMINGHAM, AL
<b>B</b> 03/1997 - 08/1998	INDEPENDENT FINANCIAL SECURITIES, INC.	19924	
<b>B</b> 05/1996 - 01/1997	PALM STATE EQUITIES, INC.	24271	SUN CITY CENTER, FL
<b>B</b> 10/1989 - 08/1994	SMITH BARNEY INC.	7059	NEW YORK, NY
<b>B</b> 12/1980 - 10/1989	AMERICAN MUNICIPAL SECURITIES, INC.	8365	ST. PETERSBURG, FL
<b>B</b> 01/1980 - 10/1980	BUCHANAN & CO., INC.	7113	
<b>B</b> 09/1976 - 01/1980	CROSBY & ELKIN, INC.	6155	

### 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
03/2014 - Present	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISOR REP	Y	SARASOTA, FL, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2006 - Present	FINANCIAL PROTECTION SERVICES, INC.	PRESIDENT	Y	TAMPA, FL, United States



# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0



## Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### 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:** 10/06/1983

**Docket/Case Number:** ATL-719-AWC

**Employing firm when activity occurred which led to the regulatory action:** AMERICAN MUNICIPAL SECURITIES, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 10/06/1983

**Sanctions Ordered:** Censure  
Monetary/Fine \$2,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** COMP #ATL-719-AWC, FILED 10/6/83, DIST. #7, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE AND MSRB RULES G-8, G-15 AND G-6-FAILED, DURING THE PERIOD 1/15/82 TO 10/22/82, TO RECORD THE TIMES OF EXECUTION ON 299 OF 595 ORDER



TICKETS; FAILED, DURING THE PERIOD 11/16/81 ATO 10/25/82, TO RECORD THE MOVEMENT OF CASH FROM THE SPECIAL ACCOUNT TO THE OPERATING ACCOUNT ON THE FIRM'S CASH RECEIPTS BLOTTER; FAILED IN SEVERAL INSTANCES DURING HE PERIOD 4/2/82 TO 9/23/82, TO RECORD ON THE FIRM'S CUSTOMER LEDGER ACCOUNT CHECKS DISBURSED TO CUSTOMERS REPRESENTING PAYMENT FOR COUPONS AND/OR REFUNDS ON TRANSACTION OVERPAYMENTS; FAILED, DURING THE PERIOD FROM 2/23/82 TO 9/21/82, TO DISBURSE PROCEEDS AND/OR DIFFERENCE CHECKS TO PUBLIC CUSTOMERS FROM ITS SPECIAL RESERVE ACCOUNT FOR THE EXCLUSIVE BENEFIT OF CUSTOMERS BUT RATHER DISBURSED SUCH FUNDS FROM ITS OPERATING ACCOUNT; PERMITTED INDIVIDUALS REGISTERED AS MUNICIPAL SECURITIES REPRESENTATIVES TO EFFECT SALES IN MUNICIPAL BOND FUNDS AND TO RECEIVE COMMISSIONS W/OUT FIRST QUALIFYING TO SELL SUCH SECURITIES; FAILED, DURING THE PERIOD 1/15/82 TO 10/22/82, TO DISCLOSE ON CONFIRMATIONS OF MUNICIPAL SECURITIES TRANSACTIONS TO PUBLIC CUSTOMERS THE AMOUNT OF THE CALL PRICE; AND, FAILED UPON RENEWAL OF THE FIRM'S FIDELITY BOND TO INCREASE BONDING COVERAGE TO AT LEAST 120% OF ITS HIGHEST CAPITAL REQUIREMENT. ON 10/6/83, THE LETTER OF ADMISSION, WAIVER AND CONSENT SUBMITTED BY SKIJUS AND RESPONDENTS AMERICAN MUNICIPAL SECURITIES, INC. AND JOHN C. PETAGNA, WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,000, J&S. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THE LETTER OF AWC WAS FINAL 10/6/83. \*\*\*\*10/13/83, FC# 8547 PAID IN FULL.

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOC. OF SECURITIES DEALERS
<b>Sanction(s) Sought:</b>	Censure
<b>Date Initiated:</b>	10/06/1983
<b>Docket/Case Number:</b>	ATL-719-AWC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AMERICAN MUNICIPAL SECURITIES, INC.



<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Allegations:</b>	VIOLATION OF ARTICLE III SECTION 1 OF THE RULES OF FAIR PRACTICE AND MSRB RULES G-8, G-15, G-6
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/06/1983
<b>Sanctions Ordered:</b>	Censure
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$2,000.00
<b>Portion Levied against individual:</b>	\$0.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	<p>FAILED TO RECORD TIMES OF EXECUTION ON 299 OF 595 ORDER TICKETS-FAILED TO RECORD MOVEMENT OF CASH FROM SPECIAL ACCOUNT TO OPERATING ACCOUNT ON FIRM'S CASH RECEIPT BLOTTER-FAILED TO RECORD ON FIRM'S CUSTOMER LEDGER-CHECKS DISBURSED TO CUSTOMERS REPRESENTING PAYMENT FOR COMPANY AND/OR REFUNDS ON TRANSACTION OVERPAYMENTS-FAILED TO DISBURSE PROCEEDS AND/OR DIFFERENCE CHECKS TO PUBLIC CUSTOMER FROM ITS SPECIAL RESERVE ACCOUNT BUT DISBURSED FUNDS FROM OPERATION ACCT.</p> <p>PERMITTED INDIVIDUALS REGISTERED AS MUNICIPAL SECURITIES</p>



REPRESENTATIVES TO EFFECT SALES IN MUNICIPAL BOND FUNDS AND TO  
RECEIVE COMMISSIONS WITHOUT FIRST QUALIFYING TO SELL SUCH  
SECURITIES-FAILED TO DISCLOSE ON CONFIRMATIONS OF MUNICIPAL  
SECURITIES TRANSACTIONS TO PUBLIC CUSTOMERS THE AMOUNT OF  
THE  
CALL PRICE & FAILED UPON RENEWAL OF THE FIRMS FIDELITY BOND TO  
INCREASE BONDING COVERAGE TO AT LEAST 100% OF ITS HIGHEST  
CAPITAL REQUIREMENT

## End of Report



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