



IAPD Report

STEVEN A GORDON

CRD# 1112019

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

STEVEN A GORDON (CRD# 1112019)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	03/07/2019
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	03/07/2019

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **19** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	OPPENHEIMER & CO. INC.	249	STAMFORD, CT	10/01/2007 - 03/08/2019
IA	OPPENHEIMER & CO. INC.	249	STAMFORD, CT	10/01/2007 - 03/08/2019
B	MORGAN STANLEY & CO., INCORPORATED	8209	GREENWICH, CT	04/02/2007 - 10/02/2007

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **19** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	03/07/2019
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	03/07/2019
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/07/2019
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/07/2019
B FINRA	General Securities Representative	Approved	03/07/2019



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	03/07/2019
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	03/07/2019
B NYSE American LLC	General Securities Sales Supervisor	Approved	03/07/2019
B NYSE Arca, Inc.	General Securities Representative	Approved	03/07/2019
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	03/07/2019
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/07/2019



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	03/07/2019
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/07/2019
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/07/2019
B Nasdaq Stock Market	General Securities Representative	Approved	03/07/2019
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/07/2019
B Nasdaq Texas, LLC	General Securities Representative	Approved	03/07/2019
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	03/07/2019
B New York Stock Exchange	General Securities Representative	Approved	03/07/2019
B New York Stock Exchange	General Securities Sales Supervisor	Approved	03/07/2019
B California	Agent	Approved	03/23/2023
B Colorado	Agent	Approved	05/21/2024
B Connecticut	Agent	Approved	03/07/2019
IA Connecticut	Investment Adviser Representative	Approved	03/07/2019
B Delaware	Agent	Approved	04/08/2024
B District of Columbia	Agent	Approved	04/07/2025
B Florida	Agent	Approved	03/07/2019
B Georgia	Agent	Approved	05/11/2026
B Illinois	Agent	Approved	04/15/2026
B Maryland	Agent	Approved	03/07/2019



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	03/07/2019
B New Jersey	Agent	Approved	03/07/2019
B New Mexico	Agent	Approved	03/07/2019
B New York	Agent	Approved	03/07/2019
B North Carolina	Agent	Approved	11/26/2019
B Pennsylvania	Agent	Approved	08/25/2022
B South Carolina	Agent	Approved	03/07/2019
B Tennessee	Agent	Approved	03/23/2023
B Vermont	Agent	Approved	08/01/2024
B Virginia	Agent	Approved	03/07/2019

Branch Office Locations

RBC CAPITAL MARKETS, LLC
285 Riverside Avenue
Suite 335
Westport, CT 06880

RBC CAPITAL MARKETS, LLC
Cos Cob, CT



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/29/1992

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	07/29/1997
General Securities Representative Examination (S7)	Series 7	04/16/1983

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/1993
Uniform Securities Agent State Law Examination (S63)	Series 63	07/14/1992

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/01/2007 - 03/08/2019	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
IA	10/01/2007 - 03/08/2019	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
B	04/02/2007 - 10/02/2007	MORGAN STANLEY & CO., INCORPORATED	CRD# 8209	GREENWICH, CT
IA	04/02/2007 - 10/02/2007	MORGAN STANLEY & CO., INCORPORATED	CRD# 8209	GREENWICH, CT
IA	09/02/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	GREENWICH, CT
B	09/02/2005 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	GREENWICH, CT
IA	04/27/2001 - 09/13/2005	ADVEST, INC.	CRD# 10	GREENWICH, CT
B	02/02/2001 - 09/13/2005	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	09/10/1994 - 02/03/2001	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	06/23/1992 - 07/19/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/01/1984 - 01/11/1988	THE ROBINSON-HUMPHREY COMPANY INC.	CRD# 723	
B	04/19/1983 - 02/09/1984	DIVERSIFIED INVESTMENT RESOURCES, INC.	CRD# 10044	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2019 - Present	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	HARTFORD, CT, United States
03/2019 - Present	RBC Capital Markets, LLC.	Financial Advisor	Y	Hartford, CT, United States
09/2007 - 03/2019	OPPENHEIMER & CO. INC.	SENIOR V.P.	Y	STAMFORD, CT, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Oppenheimer & Co., Inc.
Allegations:	Gordon was named in a customer complaint that asserted the following causes of action: excessive and unauthorized commission and fees. The causes of action relate to exchange traded funds.
Product Type:	Other: Exchange Traded Funds
Alleged Damages:	\$1,200.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #19-03687
Date Notice/Process Served:	12/13/2019
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	06/02/2020
Disposition Detail:	Respondent Gordon is jointly and severally liable for and shall pay to claimant \$1,200 in compensatory damages.

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: Claimant alleged that the commissions charged on three specific trades were excessive. From 11/29/2017 to 12/7/2017

Product Type: No Product

Alleged Damages: \$1,200.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 19-03687

Date Notice/Process Served: 12/17/2019

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/01/2020

Monetary Compensation Amount: \$1,275.00

Individual Contribution Amount: \$600.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: Claimant alleged that the commissions charged on three specific trades were excessive. From 11/29/2017 - 12/7/2017.

Product Type: No Product

Alleged Damages: \$1,200.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 19-03687

Date Notice/Process Served: 12/17/2019

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/01/2020

Monetary Compensation Amount: \$1,275.00

Individual Contribution Amount: \$600.00



Broker Statement

Mr. Gordon vehemently denies there was any basis for this award as the Client was charged a reduced rate from the commission calculated by Oppenheimer & Co. and well within the allowed amount per FINRA regulations. Although they communicated their displeasure over the amount, the Financial Advisor's supervisors determined there was no basis for reducing the amount. I heard nothing more about this until this claim was filed over 2 years later. The award basically voided the entire commission charged of \$1,200 resulting in our services provided to client be free.



End of Report

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