



## IAPD Report

# STEVEN ERIC DOLGIN

CRD# 1202513

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

**i** 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 ERIC DOLGIN (CRD# 1202513)

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 **04/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	05/14/2004
<b>IA</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	04/05/2006

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **27** 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>B</b>	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	07/01/2003 - 05/19/2004
<b>B</b>	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	10/12/1989 - 07/01/2003
<b>B</b>	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	NEW YORK, NY	06/25/1984 - 10/25/1989

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	3
Financial	2



## 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 **27** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**  
Main Address: 1717 ARCH STREET  
PHILADELPHIA, PA 19103  
Firm ID#: 463

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/14/2004
B	FINRA	General Securities Sales Supervisor	Approved	05/14/2004
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	05/14/2004
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	01/09/2025
B	California	Agent	Approved	05/14/2004
IA	California	Investment Adviser Representative	Approved	04/05/2006
B	Colorado	Agent	Approved	01/07/2025
B	Connecticut	Agent	Approved	05/21/2015
B	Florida	Agent	Approved	05/14/2004
B	Georgia	Agent	Approved	01/03/2025



## Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	10/01/2021
B	Indiana	Agent	Approved	01/07/2025
B	Maine	Agent	Approved	08/29/2006
B	Maryland	Agent	Approved	01/10/2025
B	Massachusetts	Agent	Approved	05/14/2004
B	Nevada	Agent	Approved	01/06/2025
B	New Hampshire	Agent	Approved	06/30/2020
B	New Jersey	Agent	Approved	05/14/2004
IA	New Jersey	Investment Adviser Representative	Approved	05/04/2010
B	New York	Agent	Approved	05/14/2004
IA	New York	Investment Adviser Representative	Approved	10/29/2021
B	North Carolina	Agent	Approved	01/07/2025
B	Ohio	Agent	Approved	05/14/2004
IA	Ohio	Investment Adviser Representative	Approved	10/17/2008
B	Oregon	Agent	Approved	01/28/2025
B	Pennsylvania	Agent	Approved	01/27/2025
B	Puerto Rico	Agent	Approved	02/10/2025
B	South Carolina	Agent	Approved	02/22/2019
B	Texas	Agent	Approved	01/07/2025



### Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	01/07/2025
B Utah	Agent	Approved	01/24/2025
B Vermont	Agent	Approved	01/27/2025
B Virginia	Agent	Approved	01/27/2025
B Washington	Agent	Approved	01/24/2025
B Wisconsin	Agent	Approved	09/14/2018

### Branch Office Locations

**JANNEY MONTGOMERY SCOTT LLC**  
395 N. SERVICE ROAD  
SUITE 411  
MELVILLE, NY 11747



## 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, 2 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	10/30/1995

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/15/1983

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/29/2021
Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/1983

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## 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	07/01/2003 - 05/19/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	10/12/1989 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	06/25/1984 - 10/25/1989	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	10/19/1983 - 06/06/1984	PAINWEBBER INCORPORATED	CRD# 8174	

### 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
05/2004 - Present	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	Melville, NY, United States

### 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	3
Financial	2

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Janney Montgomery Scott LLC
<b>Allegations:</b>	Client through her attorney alleges that the Financial Advisor made unsuitable recommendations and material misrepresentations to the client, breached his fiduciary duty and executed trades in the Client's account without her authorization.
<b>Product Type:</b>	Unit Investment Trust
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Not stated by client, but reasonably estimated to be in excess of \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA Dispute Resolution Arbitration
<b>Docket/Case #:</b>	19-00276



**Filing date of arbitration/CFTC reparation or civil litigation:** 01/25/2019

### Customer Complaint Information

**Date Complaint Received:** 01/25/2019  
**Complaint Pending?** No  
**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)  
**Status Date:** 01/25/2019  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA Dispute Resolution Arbitration  
**Docket/Case #:** 19-00276  
**Date Notice/Process Served:** 01/25/2019  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 11/22/2019  
**Monetary Compensation Amount:** \$175,000.00  
**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** JANNEY MONTGOMERY SCOTT LLC

**Allegations:** CLIENT ALLEGES THAT THE FINANCIAL ADVISOR RECOMMENDED THE PURCHASE OF SECURITIES WHICH WERE NOT CONSISTENT WITH HIS INVESTMENT OBJECTIVE AND RISK TOLERANCE AND RESULTED IN LOSSES IN THE CLIENT'S ACCOUNT.

**Product Type:** Equity-OTC

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** NOT STATED BY CLIENT BUT REASONABLY ESTIMATED TO BE IN EXCESS OF \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No



### Customer Complaint Information

**Date Complaint Received:** 08/04/2015  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 11/12/2015  
**Settlement Amount:**  
**Individual Contribution Amount:**

#### Disclosure 3 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** JANNEY MONTGOMERY SCOTT LLC  
**Allegations:** CUSTOMER ALLEGES UNAUTHORIZED TRADING THE ACCOUNT IN JUNE 2007  
NO CLAIM FOR DAMAGES ASSERTED BY THE CUSTOMER.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$0.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 08/11/2007  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 11/30/2007  
**Settlement Amount:**  
**Individual Contribution Amount:**

**Broker Statement** CLAIM DENIED BY FIRM ON NOVEMBER 30, 2007. ON REVIEW THE FINANCIAL CONSULTANT REBUTS THAT THE TRANSACTIONS COMPLAINED OF WERE AUTHORIZED AT THE POINT OF SALE AND DOCUMENTED VIA BOTH CONTEMPORANEOUS TRADE CONFIRMATIONS AND PERIODIC STATEMENTS.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 2

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 10/20/2020

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 12/24/2020

**If a compromise with creditor, provide:**

**Name of Creditor:** JPM Chase

**Original Amount Owed:** \$2,841.00

**Terms Reached with Creditor:** Settlement reached on 10/20/2020. Agreed to pay \$889.39 over two payments on 10/28/2020 for \$444.69 and on 11/17/2020 for \$444.70.

**Amount Paid:**

**SIPA (Securities Investor Protection Act) Trustee:**

**Currently Open?** No

**Date Direct Payment Initiated/Filed or Trustee Appointed:**

### Disclosure 2 of 2

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 03/01/2019

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Compromise

**Disposition Date:** 03/01/2019

**If a compromise with creditor, provide:**

**Name of Creditor:** Barclays Bank of Delaware



**Original Amount Owed:** \$3,414.00  
**Terms Reached with Creditor:** Settled for \$1,409. Paid in full for less than the full balance owed in March 2019.



## End of Report

This page is intentionally left blank.