



IAPD Report

STEVEN JOHN HUBBELL

CRD# 1238914

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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 JOHN HUBBELL (CRD# 1238914)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	10/10/2014
IA	HUBBELL STRICKLAND WEALTH MANAGEMENT, LLC	CRD# 301715	05/23/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
IA	STOKES & HUBBELL CAPITAL MANAGEMENT, LLC	172937	NEW ORLEANS, LA	10/13/2014 - 07/16/2019
IA	CETERA ADVISOR NETWORKS LLC	13572	NEW ORLEANS, LA	05/20/1992 - 10/13/2014
B	CETERA ADVISOR NETWORKS LLC	13572	NEW ORLEANS, LA	07/25/1985 - 10/13/2014

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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Address: 80 STATE STREET
ALBANY, NY 12207

Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	10/10/2014
B	FINRA	General Securities Representative	Approved	10/10/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	10/10/2014
B	FINRA	Operations Professional	Approved	10/10/2014
B	Alabama	Agent	Approved	10/10/2014
B	Arkansas	Agent	Approved	11/25/2014
B	California	Agent	Approved	05/29/2019
B	Colorado	Agent	Approved	08/10/2022
B	Florida	Agent	Approved	10/10/2014
B	Idaho	Agent	Approved	10/29/2021
B	Kentucky	Agent	Approved	10/10/2014
B	Louisiana	Agent	Approved	10/16/2014
B	Mississippi	Agent	Approved	10/10/2014



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	10/10/2014
B Montana	Agent	Approved	10/29/2021
B New York	Agent	Approved	05/29/2019
B North Carolina	Agent	Approved	10/10/2014
B Ohio	Agent	Approved	10/29/2021
B South Carolina	Agent	Approved	10/29/2021
B Tennessee	Agent	Approved	10/10/2014
B Texas	Agent	Approved	10/10/2014
B Utah	Agent	Approved	08/10/2022
B Virginia	Agent	Approved	10/30/2021
B West Virginia	Agent	Approved	11/04/2021

Branch Office Locations

1100 Poydras Street
Suite 2010
New Orleans, LA 70163

Employment 2 of 2

Firm Name: **HUBBELL STRICKLAND WEALTH MANAGEMENT, LLC**
Main Address: 1100 POYDRAS STREET
SUITE 2010
NEW ORLEANS, LA 70163
Firm ID#: 301715

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	05/23/2019



Qualifications

Regulator	Registration	Status	Date
IA Mississippi	Investment Adviser Representative	Approved	05/28/2019
IA Texas	Investment Adviser Representative	Restricted Approval	05/28/2019

Branch Office Locations

HUBBELL STRICKLAND WEALTH MANAGEMENT, LLC
1100 POYDRAS STREET
SUITE 2010
NEW ORLEANS, LA 70163



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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	09/29/1994

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/15/1984
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/15/1984

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1984

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
IA	10/13/2014 - 07/16/2019	STOKES & HUBBELL CAPITAL MANAGEMENT, LLC	CRD# 172937	NEW ORLEANS, LA
IA	05/20/1992 - 10/13/2014	CETERA ADVISOR NETWORKS LLC	CRD# 13572	NEW ORLEANS, LA
B	07/25/1985 - 10/13/2014	CETERA ADVISOR NETWORKS LLC	CRD# 13572	NEW ORLEANS, LA
IA	05/20/1992 - 07/02/2008	STOKES & HUBBELL CAPITAL MANAGEMENT INC	CRD# 104756	METAIRIE, LA
B	09/25/1984 - 06/07/1985	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	02/16/1984 - 07/06/1984	SMA EQUITIES, INC.	CRD# 3960	

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
06/2019 - Present	Hubbell Strickland Wealth Management	Co-Owner/Advisor	Y	New Orleans, LA, United States
10/2014 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
10/2014 - 06/2019	STOKES & HUBBELL CAPITAL MANAGEMENT, LLC	PARTNER AND PRESIDENT	Y	NEW ORLEANS, LA, 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.

1. STEVEN J. HUBBELL, SOLE PROPRIETOR; FIXED INSURANCE SALES; INVESTMENT RELATED; REPRESENTATIVE; SALE OF LIFE, LONG-TERM CARE, DISABILITY AND ANNUITIES; AT REGISTERED LOCATION; START DATE: JULY 1985; 5 HOURS PER MONTH, NOT DURING TRADING HOURS; ANALYSIS OF INSURANCE NEEDS AND SALES OF INSURANCE PRODUCTS TO CLIENTS.
2. SPLH, LLC; P.O. BOX 541 METAIRIE, LA 70004; LIMITED PARTNER/OWNER; NOT INVESTMENT RELATED; INTEREST IN FAMILY PROPERTY IN LA; START DATE: AUGUST 2011; 1 HOUR PER MONTH, NOT DURING TRADING HOURS; NO ACTIVE INVOLVEMENT IN MAINTENANCE OF THE PROPERTY.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. HUBBELL STRICKLAND WEALTH MANAGEMENT, LLC. AT REGISTERED LOCATION. RIA, OWNER. INVESTMENT RELATED, 5/2019-PRESENT. 40 HOURS/WEEK DURING TRADING HOURS. PROVIDES INVESTMENT MANAGEMENT AND FINANCIAL PLANNING SERVICES.

4. Catholic World View. Non-Investment Related. 3100 Independence Pkwy, Suite 311, Plano, TX 75075. Board member. Start 12/2020. 1hr/mo, none during trading hours. Board member.

5. The Dominican Sisters of St. Cecilia Congregation - investment related - 801 Dominican Dr. Nashville, TN 37228 - Investment committee - investment committee member - Board member - 2 hours/0 trading hours per month - Review of financial information and general discussion of investment approach in investment advisory committee. I do not directly manage any investments for the congregation or have any business relationship with this group.



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:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT ALLEGES REPRESENTATIVE DELAYED THE REDEMPTION OF HER ANNUITY IN 2009 AND DID NOT TELL HER THERE WAS NO FIXED DEATH BENEFIT ON THE ANNUITY.
Product Type:	Annuity-Variable
Alleged Damages:	\$1,426,008.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGED AMOUNT WAS ALLEGED IN THE INITIAL COMPLAINT BUT CUSTOMER STATES THAT THE REDEMPTION AMOUNT SHE RECEIVED WAS SIGNIFICANTLY LESS (APPROX \$165,000) THAN THE VALUE OF THE ANNUITY AS OF THE DATE OF HER MOTHERS DEATH. THE CIVIL PETITION CLAIMS DAMAGES NOTED IN ITEM #6, ABOVE.
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:	06/15/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)



Status Date: 08/09/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 11-00442

Date Notice/Process Served: 04/04/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/27/2012

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$10,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: 24TH JUDICIAL DISTRICT COURT

Location of Court: JEFFERSON PARISH, LOUISIANA

Docket/Case #: CASE #690-015

Date Notice/Process Served: 08/09/2010

Litigation Pending? No

Disposition: Other: THE MATTER EVOLVED INTO FINRA ARBITRATION # 11-00442

Disposition Date: 04/04/2011



End of Report

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