



IAPD Report

STEVEN KING NEFF

CRD# 1254281

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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 KING NEFF (CRD# 1254281)

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 **10/12/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LONG BRIDGE CAPITAL MANAGEMENT	CRD# 305952	07/18/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	WEALTHMARK, LLC	144948	Mead, WA	08/08/2018 - 07/12/2021
IA	NBC PARDNERS, PLLC	281707	MEAD, WA	07/25/2016 - 07/26/2018
IA	SIGNIA CAPITAL MANAGEMENT, LLC	121505	SPOKANE, WA	11/22/2004 - 01/24/2013

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
Regulatory Event	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LONG BRIDGE CAPITAL MANAGEMENT**
Main Address: SPOKANE, WA
Firm ID#: 305952

Regulator	Registration	Status	Date
IA Idaho	Investment Adviser Representative	Approved	07/18/2022
IA Washington	Investment Adviser Representative	Approved	07/18/2022

Branch Office Locations

LONG BRIDGE CAPITAL MANAGEMENT
Mead, WA




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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/23/1986

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7)	Series 7	12/14/1985
	Direct Participation Programs Representative Examination (S22)	Series 22	04/09/1984

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/28/2015
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/09/1984

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
IA	08/08/2018 - 07/12/2021	WEALTHMARK, LLC	CRD# 144948	Mead, WA
IA	07/25/2016 - 07/26/2018	NBC PARDNERS, PLLC	CRD# 281707	MEAD, WA
IA	11/22/2004 - 01/24/2013	SIGNIA CAPITAL MANAGEMENT, LLC	CRD# 121505	SPOKANE, WA
IA	07/05/1989 - 07/01/2004	ICM ASSET MANAGEMENT INC	CRD# 105046	SPOKANE , WA
B	06/17/1986 - 02/23/1989	CIMMARON SECURITIES CORPORATION	CRD# 17107	
B	05/31/1984 - 05/13/1986	FIRST MID-CONTINENT SECURITIES, INC.	CRD# 10717	
B	04/10/1984 - 05/29/1985	DUBOIS-SCHENNUM ASSOC., LTD.	CRD# 8730	

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
07/2022 - Present	Long Bridge Capital Management	Principal	Y	Liberty Lake, WA, United States
01/2021 - Present	Focus Point Capital LLC	Business Development Representative	Y	Mead, WA, United States
08/2018 - 12/2020	Wealthmark, LLC	Investment Adviser Representative	Y	Mead, WA, United States
01/2012 - 10/2018	Self Employed Business Consulting	NA	Y	Spokane, WA, United States
09/2015 - 07/2018	NBC PARDNERS, PLLC	Member-CEO, CCO	Y	Spokane, WA, United States
05/2015 - 12/2016	ICM ASSET MANAGEMENT, INC.	CLIENT SERVICE CONSULTANT	Y	SPOKANE, WA, 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.

Steve serves on the loan committee for Ignite Northwest, a Spokane, Washington-based incubator. Mr. Neff also volunteers as a co-manager for Springboard, a regional organization that assists early-stage companies. Mr. Neff has held several NASSA security licenses including Series 63 and Series 65 and earned a Certified Investment Management Analyst (CIMA) designation. He graduated from the University of Nebraska at Kearney with a BA in Business.



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF IDAHO, DEPARTMENT OF FINANCE

Sanction(s) Sought: Denial

Date Initiated: 04/21/1993

Docket/Case Number: DOCKET #1993-7-40

Employing firm when activity occurred which led to the regulatory action: ICM ASSET MANAGEMENT, INC.

Product Type: Other: Investment Advisory Services

Allegations: IN 1977, MR. NEFF BECAME INVOLVED AS ONE OF FOUR PARTNERS DEVELOPING A RESIDENTIAL SUBDIVISION IN ALLIANCE, NEBRASKA. DUE TO THE RECESSION OF 1979, THE SUBDIVISION FAILED TO SELL A LARGE PORTION OF FULLY DEVELOPED LOTS. THE PARTNERSHIP'S INTERESTS WERE SUBSEQUENTLY FORFEITED THROUGH FORECLOSURE ACTIONS. COMMERCIAL FEDERAL SAVINGS & LOAN ASSOCIATION WAS AWARDED A JUDGMENT AS A RESULT OF MR. NEFF'S PERSONAL GUARANTEE OF THE REAL ESTATE LOAN. THE ACTION WAS FILED IN 1986 IN THE DISTRICT COURT, COUNTY OF DOUGLAS, OMAHA, NEBRASKA (DOC 849/#455). THE IRS SUBSEQUENTLY FILED LIENS AGAINST MR. NEFF RESULTING FROM THE PRIOR REAL ESTATE ACTIVITY. PAYMENT AGREEMENTS WERE SET UP FOR BOTH THE IRS AND COMMERCIAL FEDERAL SAVINGS. ON APRIL 21, 1993 THE STATE OF IDAHO ISSUED AN ORDER AND NOTICE OF DENIAL OF REGISTRATION OF AN INVESTMENT ADVISER REPRESENTATIVE AGAINST MR. NEFF, STATING THAT HE WAS INSOLVENT SINCE HE WAS UNABLE TO MEET HIS OBLIGATIONS AS THEY CAME DUE AS EVIDENCED BY UNPAID FEDERAL TAX LIENS FOR TAXES OWNED FROM 1978 THROUGH 1985.



Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/21/1993

Sanctions Ordered: Denial

Broker Statement BOTH THE JUDGMENT AND IRS TAX LIENS HAVE SUBSEQUENTLY BEEN PAID (COMMERCIAL FEDERAL on 12-6-93; IRS on 2-4-94). REQUEST FOR REGISTRATION FOR MR. NEFF WAS RE-SUBMITTED ON MAY 16, 1994 AND ICM RECEIVED CERTIFICATION FROM THE STATE OF IDAHO FOR MR. NEFF AS AN INVESTMENT ADVISOR REPRESENTATIVE ON MAY 31, 1994.



End of Report

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