



IAPD Report

STEVEN N. BRODIE

CRD# 1492095

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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 N. BRODIE (CRD# 1492095)

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 **05/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	05/31/2022
IA	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **22** 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	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	INDIANAPOLIS, IN	07/01/2022 - 03/31/2025
B	CLARENDON INSURANCE AGENCY, INC.	7395	Indianapolis, IN	07/02/2021 - 05/13/2022
IA	EQUITABLE ADVISORS, LLC	6627	INDIANAPOLIS, IN	03/10/2020 - 07/06/2020

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	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 **22** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**
Main Address: 155 SEAPORT BLVD
BOSTON, MA 02210-2698
Firm ID#: 104555

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	03/31/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

Branch Office Locations

STRATEGIC ADVISERS LLC
8480 KEYSTONE CROSSING
INDIANAPOLIS, IN 46240-2437

STRATEGIC ADVISERS LLC
INDIANAPOLIS, IN

Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**
Main Address: 900 SALEM STREET
SMITHFIELD, RI 02917
Firm ID#: 7784

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/31/2022
B New York Stock Exchange	General Securities Representative	Approved	05/31/2022
B Arizona	Agent	Approved	12/05/2024
B Arkansas	Agent	Approved	12/05/2024
B California	Agent	Approved	12/05/2024



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	12/05/2024
B Florida	Agent	Approved	12/05/2024
B Georgia	Agent	Approved	12/05/2024
B Illinois	Agent	Approved	12/05/2024
B Indiana	Agent	Approved	05/31/2022
B Kansas	Agent	Approved	12/05/2024
B Kentucky	Agent	Approved	12/05/2024
B Maryland	Agent	Approved	12/05/2024
B Massachusetts	Agent	Approved	12/05/2024
B Michigan	Agent	Approved	12/05/2024
B New York	Agent	Approved	12/05/2024
B North Carolina	Agent	Approved	12/05/2024
B Ohio	Agent	Approved	12/05/2024
B South Carolina	Agent	Approved	12/05/2024
B Tennessee	Agent	Approved	12/05/2024
B Texas	Agent	Approved	05/31/2022
B Utah	Agent	Approved	12/05/2024
B Virginia	Agent	Approved	12/05/2024
B Washington	Agent	Approved	12/05/2024



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

FIDELITY BROKERAGE SERVICES, LLC
8480 KEYSTONE CROSSING BLVD
INDIANAPOLIS, IN 46240

FIDELITY BROKERAGE SERVICES, LLC
INDIANAPOLIS, IN



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/16/2013

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/07/2020
Uniform Securities Agent State Law Examination (S63)	Series 63	09/20/2013

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	07/01/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	INDIANAPOLIS, IN
B	07/02/2021 - 05/13/2022	CLARENDON INSURANCE AGENCY, INC.	CRD# 7395	Indianapolis, IN
IA	03/10/2020 - 07/06/2020	EQUITABLE ADVISORS, LLC	CRD# 6627	INDIANAPOLIS, IN
B	02/26/2020 - 07/06/2020	EQUITABLE ADVISORS, LLC	CRD# 6627	INDIANAPOLIS, IN
B	09/16/2013 - 07/24/2019	CHARLES SCHWAB & CO., INC.	CRD# 5393	Indianapolis, IN

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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
05/2022 - Present	FIDELITY INVESTMENTS	RELATIONSHIP MANAGER	Y	INDIANAPOLIS, IN, United States
07/2020 - 04/2022	Delaware Life Insurance Company	Customer Service Coordinator	Y	Waltham, MA, United States
02/2020 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
02/2020 - 06/2020	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
07/2019 - 02/2020	SELF EMPLOYED - INDEPENDANT AGENT FOR VARIOUS INS. CARRIERS	AGENT	N	INDIANAPOLIS, IN, United States
06/2013 - 06/2019	CHARLES SCHWAB & CO.,INC	SPECIALIST, HIGH NET WORTH REP	Y	INDIANAPOLIS, IN, 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	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CHARLES SCHWAB & CO., INC.
Allegations:	Customers allege that between July 2018 and October 2018, Schwab and its representatives recommended an unsuitable option trading strategy to them, resulting in investment losses in their account(s).
Product Type:	Options
Alleged Damages:	\$191,938.34
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-00386
Filing date of arbitration/CFTC reparation or civil litigation:	01/31/2020

Customer Complaint Information

Date Complaint Received:	02/18/2020
Complaint Pending?	No



Status: Settled
Status Date: 12/28/2021
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Firm Statement Customer complaint originally received 01/28/19 has evolved into a FINRA Arbitration. Prior to the date set for an arbitration hearing both Claimants dismissed their entire claims with prejudice and without receiving any compensation or payment.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CHARLES SCHWAB & CO., INC.
Allegations: Customers allege that between July 2018 and October 2018, Schwab and its representatives recommended an unsuitable option trading strategy to them, resulting in investment losses in their account(s).
Product Type: Options
Alleged Damages: \$191,938.34
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 20-00386
Filing date of arbitration/CFTC reparation or civil litigation: 01/31/2020

Customer Complaint Information

Date Complaint Received: 02/18/2019
Complaint Pending? No
Status: Withdrawn
Status Date: 12/30/2021
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Broker Statement Customer complaint originally received 01/28/2019 has evolved into a FINRA Arbitration.
2/23/22: Claims by all parties involved have been resolved. Although scheduled for arbitration, the parties agreed that this matter should be dismissed with prejudice, without any fees or costs to either party. Accordingly, the parties asked that any evidentiary or other hearings in this matter be stricken from the arbitration calendar. As such this matter is now settled.



Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Charles Schwab & Co., Inc.

Allegations: Customer alleges instructions to exercise TerraForm Power, Inc. options were not followed in October 2017.

Product Type: Options

Alleged Damages: \$285,600.00

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: 02/16/2018

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/02/2018

Settlement Amount:

Individual Contribution Amount:



End of Report

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