



IAPD Report

Steven James Lewis SR

CRD# 1526636

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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 James Lewis SR (CRD# 1526636)

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 **11/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VERITY ASSET MANAGEMENT	CRD# 158667	07/29/2011
B	THE LEADERS GROUP, INC.	CRD# 37157	11/11/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	VERITY INVESTMENTS, INC.	41527	DURHAM, NC	10/27/2006 - 11/20/2025
IA	VERITY INVESTMENTS, INC.	41527	ABERDEEN, NC	10/31/2006 - 07/29/2011
IA	THE HOUSEHOLDER GROUP, ESTATE & RETIREMENT SPECIALISTS	107773	RALEIGH, NC	03/10/2006 - 10/25/2006

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
Judgment/Lien	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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **THE LEADERS GROUP, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 37157

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/11/2025
B	Florida	Agent	Approved	11/11/2025
B	New York	Agent	Approved	11/11/2025
B	North Carolina	Agent	Approved	11/11/2025
B	Virginia	Agent	Approved	11/11/2025

Branch Office Locations

280 S Mangum Street, Suite 550
Durham, NC 27701

280 S Mangum Street, Suite 550
Durham, NC 27701

Employment 2 of 2

Firm Name: **VERITY ASSET MANAGEMENT**
Main Address: 280 S MANGUM ST
STE 550
DURHAM, NC 27701-3676
Firm ID#: 158667

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	07/29/2011

Branch Office Locations



Qualifications

VERITY ASSET MANAGEMENT
ABERDEEN, NC



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, 2 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/19/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/15/2002
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1986



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	10/27/2006 - 11/20/2025	VERITY INVESTMENTS, INC.	CRD# 41527	DURHAM, NC
IA	10/31/2006 - 07/29/2011	VERITY INVESTMENTS, INC.	CRD# 41527	ABERDEEN, NC
IA	03/10/2006 - 10/25/2006	THE HOUSEHOLDER GROUP, ESTATE & RETIREMENT SPECIALISTS	CRD# 107773	RALEIGH, NC
B	01/13/2006 - 08/07/2006	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	SCOTTSDALE, AZ
IA	01/21/2005 - 09/16/2005	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	DURHAM, NC
B	01/03/2005 - 09/16/2005	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ATLANTA, GA
B	12/17/2004 - 01/03/2005	NCF FINANCIAL SERVICES, INC.	CRD# 120471	DURHAM, NC
IA	07/22/2002 - 01/03/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	04/24/2001 - 01/03/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	11/26/1990 - 05/07/1999	THE DREYFUS SERVICE CORPORATION	CRD# 231	NEW YORK, NY
B	08/11/1989 - 10/03/1990	CASTLE SECURITIES CORP.	CRD# 16077	FREEPORT, NY
B	04/19/1989 - 08/05/1989	ESCALATOR SECURITIES, INC.	CRD# 16985	
B	07/23/1986 - 03/10/1989	INVESTORS CENTER, INC.	CRD# 14670	



Registration & Employment History

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
11/2025 - Present	The Leaders Group DBA Simplicity Investments	Registered Representative	Y	Summit, NJ, United States
10/2006 - Present	Verity Asset Mgmt	Portfolio Manager	Y	Durham, NC, United States
10/2006 - Present	Verity Financial Group	Agent	N	Durham, NC, United States
06/2011 - 11/2025	VERITY INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	DURHAM, NC, 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.) VERITY FINANCIAL GROUP - 10/23/06 - 280 S Mangum Street, Suite 550, Durham, NC 27701 - Agent, Independent contractor for life & annuity products, Not Invt Rel, Insurance business, 40 hrs/mo; 40 hrs/mo (during trading hours).
- 2.) VERITY ASSET MGMT - 10/23/06 - 280 S Mangum Street, Suite 550, Durham, NC 27701 - Portfolio Manager, Portfolio manager, Invt Rel, Financial business, 160 hrs/mo; 120 hrs/mo (during trading hours).



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
Judgment/Lien	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:	Regulator
Regulatory Action Initiated By:	MICHIGAN
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILURE TO PAY THE BALANCE OF THE \$30 1989 RENEWAL FEE, IN THE AMOUNT OF \$15.
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	N/A



Regulator Statement STEVEN JAMES LEWIS'
REGISTRATION WAS REVOKED DUE TO THE FAILURE TO PAY THE
BALANCE
OF THE \$30 1989 RENEWAL FEE, IN THE AMOUNT OF \$15. DOCKET/CASE
NUMBER NOT PROVIDED, DATED DECEMBER 27, 1989.

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Reporting Source: Firm

Regulatory Action Initiated By: STATE OF MICHIGAN-SECURITIES DIVISION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/27/1989

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: NA

Current Status: Final

Resolution: Decision

Resolution Date: 12/27/1989

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: CURRENTLY REGISTERED AS AN AGENT

Firm Statement Not Provided

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MICHIGAN

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 12/27/1989

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: \$15.00 NON-PAYMENT 1989 RENEWAL FEE



Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	REVOKED
Broker Statement	NOT PROVIDED



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	HSBC BANK NEVADA N.A.
Judgment/Lien Amount:	\$19,107.00
Judgment/Lien Type:	Civil
Date Filed with Court:	10/05/2010
Date Individual Learned:	10/26/2010
Type of Court:	DISTRICT COURT
Name of Court:	WAKE COUNTY
Location of Court:	RALEIGH, NC
Docket/Case #:	2010CVD013969
Judgment/Lien Outstanding?	Yes
Broker Statement	DUE TO ECONOMIC DOWNTURN, I WAS UNABLE TO PAY THIS DEBT.



End of Report

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