



## IAPD Report

# STEVEN DAVID LOCKSHIN

CRD# 1557803

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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 DAVID LOCKSHIN (CRD# 1557803)

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 **10/03/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	MARINER	CRD# 140195	03/03/2022

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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>IA</b>	ADVCEPERIOD, LLC	169828	LOS ANGELES, CA	01/16/2014 - 03/30/2022
<b>IA</b>	CONVERGENT WEALTH ADVISORS, LLC	143719	POTOMAC, MD	05/02/2007 - 10/31/2016
<b>B</b>	CITY NATIONAL SECURITIES, INC.	103705	POTOMAC, MD	05/02/2007 - 12/19/2013

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MARINER**  
Main Address: 5700 W. 112TH STREET  
SUITE 500  
OVERLAND PARK, KS 66211  
Firm ID#: 140195

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	03/03/2022

### Branch Office Locations

**MARINER**  
2121 AVENUE OF THE STARS  
#2400  
LOS ANGELES, CA 90067




## 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, 1 general industry/product exam, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/10/1998

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	11/10/1998

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/30/1998
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/19/1994

### 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	01/16/2014 - 03/30/2022	ADVICEPERIOD, LLC	CRD# 169828	LOS ANGELES, CA
IA	05/02/2007 - 10/31/2016	CONVERGENT WEALTH ADVISORS, LLC	CRD# 143719	POTOMAC, MD
B	05/02/2007 - 12/19/2013	CITY NATIONAL SECURITIES, INC.	CRD# 103705	POTOMAC, MD
IA	10/21/1994 - 05/02/2007	LYDIAN WEALTH MANAGEMENT COMPANY, LLC	CRD# 107659	ROCKVILLE, MD
B	04/23/1999 - 06/16/2006	LYDIAN SECURITIES COMPANY	CRD# 46022	ROCKVILLE, MD
B	08/12/1988 - 01/07/1993	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	11/03/1987 - 08/16/1988	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	
B	10/30/1987 - 11/04/1987	LEGG MASON MASTEN INC.	CRD# 2	
B	02/26/1987 - 10/31/1987	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	

### 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
03/2022 - Present	MARINER WEALTH ADVISORS	PRINCIPAL	Y	LOS ANGELES, CA, United States
01/2014 - 03/2022	ADVICEPERIOD, LLC	PRINCIPAL	Y	LOS ANGELES, CA, United States
11/2014 - 01/2022	B+ INSTITUTIONAL SERVICES, LLC	PRINCIPAL	Y	LEAWOOD, KS, United States
03/1994 - 10/2016	CONVERGENT WEALTH ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LOS ANGELES, CA, 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.

OPENADVISOR, LLC; INVESTMENT RELATED; 2121 AVENUE OF THE STARS, SUITE 2400, LOS ANGELES, CA 90067; HOLDING COMPANY FOR REGISTERED INVESTMENT ADVISERS; MAJORITY OWNER; 11/2013 TO PRESENT; APPROX 0 HRS/MONTH.

OpenAdvisor Technologies, Inc; Non-investment Related; 2121 Avenue of the Stars, Suite 2400, Los Angeles, CA 90067; Development of estate planning and legal documentation generation software approximately 10-20 hrs per month (10-20 hrs during trading hours); Compensation: equity interest.

Clear Fiduciary Support Services, LLC; Non-investment Related; 2121 Avenue of the Stars, Suite 2400, Los Angeles, CA 90067; Provide trustee support for on-boarding and administering NV trusts approximately 3-5 hrs per month (3-5 hrs during trading hours); Compensation: equity only.

Refill It, Inc.; Not Investment Related; 3133 Osgood Court, Fremont, CA 94539; Sustainable bottled water company; Board of Directors - Member; Start Date 1/1/2020; 1 hour per month (1 hour per month during trading hours); Board Duties.

Velocity Merger Corp; Not investment related; 520 Newport Center Drive, 21st Floor, Newport Beach, CA 92660; SPAC; Board Member; Start Date 02/25/2021; 3 hours per month (3 hours per month during trading hours); Board Member Duties.

Collab II LPAC; Not investment related, Advisory Board, General Partner, Start date: 2/3/2023, 1 hour per month, 1 hour during trading hours, The LPAC is a 3 member committee that considers any approvals sought by the general partner (Collab) as required by the fund's limited partnership agreement as well as potential conflicts of interest.

Kuhn Family PTC, LLC; Not investment related, Las Vegas, NV, Treasurer and AML Officer, Start date: 1/1/2024, 1 hour per month, 1 hour during trading hours, Treasurer & AML Officer of PTC

Harlem Lacrosse; Not investment related, Los Angeles, CA, Board Member, Start date: 5/1/2017, 1 hour per month, 1 hour during trading hours, mission is to provide opportunities, relationships, and experiences that activate the skills and traits to put youth on a path to success as students, athletes, and citizens.

Jordan Family PTC, LLC; Investment related, Arizona, Advisory Board, Investment Committee Member, Start date 10/28/2019, 1 hour per month, 1 hour 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	2

### 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 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:**

**Docket/Case Number:** C05930055

**Employing firm when activity occurred which led to the regulatory action:** MELTZER AND ASSOCIATES

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 09/21/1993

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,500.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** \*\*\*\*\*NASD REGISTRATION REVOKED ON 1/05/94\*\*\*\*\*  
\*\*\*\*\*FOR NON-PAYMENT OF FINES AND/OR COSTS\*\*\*\*\*



\*\*\*\*\*IN COMPLAINT #C05930056\*\*\*\*\*  
 \*\*\*\*\*  
 \*\*\*\*\*REVOCATION RECINDED ON 6/01/94.\*\*\*\*\*  
 \*\*\*\*\*FULLY PAID ON 5/31/94.\*\*\*\*\*

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:**  
**Date Initiated:** 09/21/1993  
**Docket/Case Number:** C05930055  
**Employing firm when activity occurred which led to the regulatory action:** MELTZER AND ASSOCIATES

**Product Type:** No Product

**Allegations:** IN 1993, STEVEN LOCKSHIN ENTERED INTO A "NOTICE OF ACCEPTANCE, WAIVER AND CONSENT" NO. C05930055 WITH NASD DISTRICT BUSINESS CONDUCT COMMITTEE DISTRICT NO. 5. THE NASD'S ADMINISTRATIVE COMPLAINT ALLEGED THAT ON 2/11/92, MR. LOCKSHIN, WITHOUT NOTIFYING OR OBTAINING THE APPROVAL OF HIS EMPLOYER BROKERDEALER, PURCHASED 500 SHARES OF AN IPO FOR AN ACCOUNT IN WHICH HE OR AN IMMEDIATE FAMILY MEMBER HAD BENEFICIAL INTEREST THAT WERE LATER TRADED AT A PREMIUM IN THE SECONDARY MARKET IN VIOLATION OF THE NASD RULES OF FAIR PRACTICE. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. LOCKSHIN AGREED TO A \$5,500 FINE AND CENSURE.

**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 09/21/1993  
**Sanctions Ordered:** Censure  
 Other: \$5,500 FINE.

**Disclosure 2 of 2**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Sanction(s) Sought:**



**Other Sanction(s) Sought:**

**Date Initiated:** 09/21/1993

**Docket/Case Number:** C05930056

**Employing firm when activity occurred which led to the regulatory action:** MELTZER AND ASSOCIATES

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 09/21/1993

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,500.00  
Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON SEPTEMBER 21, 1993, DISTRICT NO. 5 NOTIFIED STEVEN D. LOCKSHIN THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05930056 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$5,500 - (ARTICLE III, SECTIONS 1 AND 28 OF THE RULES OF FAIR PRACTICE - IN CONTRAVENTION OF THE BOARD OF GOVERNORS FREE-RIDING AND WITHHOLDING INTERPRETATION, RESPONDENT LOCKSHIN PURCHASED SHARES OF A NEW ISSUE THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTER MARKET; AND, ENGAGED IN A PRIVATE SECURITIES TRANSACTION THROUGH ANOTHER MEMBER FIRM WITHOUT HAVING PROVIDED PRIOR WRITTEN NOTICE TO AND HAVING RECEIVED APPROVAL FROM HIS MEMBER FIRM).

\*\*\*\$5,500 PAID ON 5/31/94, RECINDED REVOCATION ON 6/01/94.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Date Initiated:** 09/21/1993

**Docket/Case Number:** C05930056

**Employing firm when activity occurred which led to the regulatory action:** MELTZER AND ASSOCIATES

**Product Type:** No Product



<b>Allegations:</b>	CONDUCT COMMITTEE DISTRICT NO. 5. THE NASD'S ADMINISTRATIVE COMPLAINT ALLEGED THAT ON 2/11/92, MR. LOCKSHIN, WITHOUT NOTIFYING OR OBTAINING THE APPROVAL OF HIS EMPLOYER BROKERDEALER, PURCHASED 500 SHARES OF AN IPO FOR AN ACCOUNT IN WHICH HE OR AN IMMEDIATE FAMILY MEMBER HAD BENEFICIAL INTEREST THAT WERE LATER TRADED AT A PREMIUM IN THE SECONDARY MARKET IN VIOLATION OF THE NASD RULES OF FAIR PRACTICE. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. LOCKSHIN AGREED TO A \$5,500 FINE AND CENSURE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	09/21/1993
<b>Sanctions Ordered:</b>	Censure Other: LETTER OF ACCEPTANCE, WAIVER, AND CONSENT WITH CENSURE AND \$5,500 FINE. REGISTRATION WAS REVOKED ON 1/5/94 DUE TO NONPAYMENT OF THE FINE, BUT REVOCATION WAS RESCINDED ON 6/1/94 AFTER THE FINE WAS PAID.



## End of Report

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