IAPD Report

STEVEN CRAIG CONNERS

CRD# 1939727

Section Title	Page(s)

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 CRAIG CONNERS (CRD# 1939727)

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 **10/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CORECAP ADVISORS	CRD# 158819	09/14/2016
B	CORECAP INVESTMENTS, LLC	CRD# 37068	09/15/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	SSN ADVISORY, INC.	126090	SCOTTSDALE, AZ	09/15/2014 - 08/31/2016
B	SECURITIES SERVICE NETWORK, INC.	13318	Scottsdale, AZ	09/04/2014 - 08/31/2016
IA	METLIFE SECURITIES INC.	14251	TEMPE, AZ	12/07/2012 - 09/10/2014

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	3

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

Employment 1 of 2

Firm Name: **CORECAP INVESTMENTS, LLC**

Main Address: 27777 FRANKLIN ROAD
SUITE 700
SOUTHFIELD, MI 48034

Firm ID#: 37068

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/15/2016
B	Arizona	Agent	Approved	09/15/2016
B	California	Agent	Approved	09/15/2016
B	Colorado	Agent	Approved	10/17/2016
B	Florida	Agent	Approved	02/03/2025
B	Georgia	Agent	Approved	03/24/2022
B	Illinois	Agent	Approved	09/16/2016
B	New Jersey	Agent	Approved	09/15/2016
B	New York	Agent	Approved	06/15/2021
B	Ohio	Agent	Approved	01/27/2020
B	Texas	Agent	Approved	07/13/2020

Branch Office Locations

9170 E Bahia Drive, Suite 103C

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Qualifications

Scottsdale, AZ 85260

Employment 2 of 2

Firm Name:	**CORECAP ADVISORS**
Main Address:	27777 FRANKLIN ROAD SUITE 700 SOUTHFIELD, MI 48034
Firm ID#:	158819

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	09/21/2016
IA	California	Investment Adviser Representative	Approved	09/14/2016
IA	Illinois	Investment Adviser Representative	Approved	09/16/2016
IA	New Jersey	Investment Adviser Representative	Approved	11/29/2016
IA	Ohio	Investment Adviser Representative	Approved	10/07/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	07/14/2020
IA	Washington	Investment Adviser Representative	Approved	01/09/2025

Branch Office Locations

CORECAP ADVISORS
9170 E Bahia Drive, Suite 103C
Scottsdale, AZ 85260

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

Principal/Supervisory Exams

	Exam	Category	Date
	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	10/21/1991
B	Direct Participation Programs Representative Examination (S22)	Series 22	02/19/1991
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/10/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/01/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/1989

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.

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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	09/15/2014 - 08/31/2016	SSN ADVISORY, INC.	CRD# 126090	SCOTTSDALE, AZ
B	09/04/2014 - 08/31/2016	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	Scottsdale, AZ
IA	12/07/2012 - 09/10/2014	METLIFE SECURITIES INC.	CRD# 14251	TEMPE, AZ
B	12/03/2012 - 09/10/2014	METLIFE SECURITIES INC.	CRD# 14251	TEMPE, AZ
IA	09/22/2009 - 01/07/2013	HOUSEHOLDER GROUP FINANCIAL ADVISORS, LLC	CRD# 149564	SCOTTSDALE, AZ
B	09/09/2009 - 12/03/2012	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	SCOTTSDALE, AZ
IA	08/27/2008 - 09/09/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	08/18/2008 - 09/09/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	08/05/2005 - 08/20/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SCOTTSDALE, AZ
IA	08/05/2005 - 08/20/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SCOTTSDALE, AZ
IA	11/17/2000 - 08/09/2005	MORGAN STANLEY	CRD# 7556	SCOTTSDALE, AZ
B	10/25/2000 - 08/09/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	03/07/1997 - 10/26/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/19/1991 - 03/21/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/21/1989 - 08/26/1991	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	11/21/1989 - 08/26/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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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	05/09/1989 - 09/21/1989	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	05/09/1989 - 09/21/1989	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

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
09/2016 - Present	CoreCap Advisors, LLC	Investment Advisor Representative	Y	Southfield, MI, United States
09/2016 - Present	CoreCap Investments, LLC	Registered Representative	Y	Southfield, MI, United States
09/2014 - Present	Conners Wealth Management, Inc	Owner	Y	Scottsdale, AZ, United States
09/2014 - 09/2016	SECURITIES SERVICE NETWORK, INC	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
09/2014 - 09/2016	SSN ADVISORY, INC	INVESTEMENT ADVISOR	Y	SCOTTSDALE, AZ, 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.

* CONNERS WEALTH MANAGEMENT - 9170 EAST BAHIA DR, SUITE 103C, SCOTTSDALE, AZ 85260 - 12/2012 START DATE - NIR - LIFE INSURANCE, INDEXED ANNUITIES, LONG TERM CARE INSURANCE, MEDICARE SUPPLEMENTS - INSURANCE SALES - CORPORATION - approx. 60 HRS/MO TRADING

* Legacy Life; selling mortgage protection insurance, final expense life insurance; approx. 20 hours per month;

*Digital BGA; Digital Senior Benefits; Sales; Helping those less fortunate with basic life insurance; approx. 10 hours per month; approx. 0 hours per month during trading hours

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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.

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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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Securities Service Network, Inc.
Allegations:	Client alleges that Mr. Conners failed to follow instructions to reallocate variable annuity sub accounts and also failed to assist in the transfer of stock to her account at the firm. These issues occurred throughout 2015 and early 2016.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock)
Alleged Damages:	$78,212.90
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:	04/25/2016
Complaint Pending?	No
Status:	Settled
Status Date:	04/17/2017
Settlement Amount:	$2,500.00
Individual Contribution Amount:	$0.00

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Firm Statement	This same compliant was previously denied and was added to U-4 as occurrence number# 1879877. Client submitted the same complaint again through an attorney and firm decided to settle for $2500.00.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Securities Service Network, Inc.
Allegations:	Client alleges that Mr. Conners failed to follow instructions to reallocate variable annuity sub accounts and also failed to assist in the transfer of stock to her account at the firm. These issues occurred throughout 2015 and early 2016.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock)
Alleged Damages:	$78,212.90
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:	04/25/2016
Complaint Pending?	No
Status:	Settled
Status Date:	04/17/2017
Settlement Amount:	$2,500.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE DID NOT PROVIDE FULL DISCLOSURE WHEN AN IRA WAS ESTABLISHED IN APRIL 2013. CUSTOMER HAS ALLEGED DAMAGES AS NOTED BELOW.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$21,545.04
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

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Customer Complaint Information

Date Complaint Received: 06/18/2013

Complaint Pending? No

Status: Denied

Status Date: 07/08/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT INITIALLY MET WITH ADVISOR 4/27/2013. ACKNOWLEDGED AND GRANTED PERMISSION FOR ADVISOR TO PURCHASE SPECIFIC FIXED-INCOME INVESTMENTS. ADVISOR BELIEVES INVESTMENTS ARE VERY SUITABLE FOR CLIENT'S PARTICULAR NEEDS. RECOMMENDATIONS WERE MADE
IN PERSON AND SUBSEQUENTLY OVER THE TELEPHONE ON DATES FROM 4/27/2013 TO MULTIPLE PHONE CONVERSATIONS BETWEEN 5/17-5/21/2013.
CLIENT'S COMPLAINT ABOUT PERFORMANCE WAS RECEIVED BY METLIFE SECURITIES JUST 2 WEEKS AFTER PURCHASE. ADVISOR BELIEVES THAT NOTHING HAS BEEN DONE THAT WOULD BE CONSIDERED INAPPROPRIATE; TAKING CLIENT'S NEEDS AND
INVESTMENT OBJECTIVES INTO CONSIDERATION.
LASTLY, ADVISOR IS PLEASED WITH PORTFOLIO POSITIONING AT THIS EARLY JUNCTURE.
NO CHANGES TO PORTFOLIO NOR ANY UNDERPERFORMANCE TO TREASURY MARKET HAS BEEN IDENTIFIED.
CLIENT DOES NOT WANT A NEW ADVISOR, AND HAS REQUESTED IN WRITING THAT ADVISOR: STEVEN CONNERS, CONTACT HIM
SHOULD ANY CHANGES TO PORTFOLIO BE NECESSARY.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CLAIMANT ALLEGED THAT SMITH BARNEY
INCORRECTLY CALCULATED THE ACCRUED INTEREST ON A BOND, AND ALLEGED DAMAGES OF $5,000.

Product Type:

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

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Civil Litigation Information

Court Details: SMALL CLAIMS; SC641053

Date Notice/Process Served: 10/03/1995

Litigation Pending? No

Disposition: Monetary Judgment to Customer

Disposition Date: 11/16/1995

Monetary Compensation Amount: $1,621.50

Individual Contribution Amount:

Firm Statement THE COURT AWARDED THE CLIENT $1,621.50 PLUS
COURT COSTS. THE COURT MADE NO FINDINGS OF FACT AND DID NOT
EVEN ALLOW SMITH BARNEY TO PRESENT ANY EVIDENCE. THIS WAS
ACTUALLY AN OPERATIONAL ISSUE, SINCE SMITH BARNEY`S
CALCULATION
OF THE YIELD TO CALL WAS DONE BY COMPUTER AND DID NOT INVOLVE
THE EXERCISE OF INDEPENDENT JUDGMENT BY THE BROKER. FOR
ADDITIONAL INFORMATION, CONTACT LINDA R ALPERT AT (212)
816-7599.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: THE CUSTOMER ALLEGED THAT HE HAD OVERPAID ON
THE ACCURED INTEREST OF A BOND HE PURCHASED.

Product Type: Other

Other Product Type(s): MUNICIPAL BOND

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 10/03/1995

Complaint Pending? No

Status: Litigation

Status Date: 11/16/1995

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SMALL CLAIMS; SC641053

Date Notice/Process Served: 10/03/1995

Litigation Pending? No

Disposition: Monetary Judgment to Customer

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Disposition Date:	11/16/1995
Monetary Compensation Amount:	$1,621.50
Individual Contribution Amount:	$0.00
Broker Statement	THE COURT AWARDED THE PLAINTIFF $1,621.50 PLUS COURT COSTS. THE CLIENT CONTINUES TO MAINTAIN AN ACCOUNT WITH THE BROKER. THE COURT MADE NO FINDINGS OF FACT, AND DID NOT EVEN ALLOW SMITH BARNEY TO PRESENT ANY EVIDENCE. FOR ADDITIONAL INFORMATION CONTACT LINDA ALPERT, ESQ. 212-816-7599.

End of Report

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