



## IAPD Report

# ALEX SHTAYNBERGER

CRD# 2077298

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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

### ALEX SHTAYNBERGER (CRD# 2077298)

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 **07/30/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LAIDLAW & COMPANY (UK) LTD.	CRD# 119037	07/26/2002
<b>IA</b>	LAIDLAW WEALTH MANAGEMENT LLC	CRD# 150040	04/19/2010

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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>B</b>	SANDS BROTHERS & CO., LTD.	26816	NEW YORK, NY	03/30/1999 - 10/29/2004
<b>B</b>	CIBC OPPENHEIMER CORP.	630	NEW YORK, NY	01/06/1992 - 08/26/1998

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
Investigation	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 52 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **LAIDLAW & COMPANY (UK) LTD.**  
Main Address: 16 BERKELEY ST.  
SUITE 7.09  
LONDON, UNITED KINGDOM W1J 8DZ  
Firm ID#: 119037

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/26/2002
B FINRA	General Securities Representative	Approved	07/26/2002
B FINRA	General Securities Sales Supervisor	Approved	07/26/2002
B FINRA	Registered Options Principal	Approved	02/28/2005
B FINRA	Municipal Securities Principal	Approved	06/02/2005
B FINRA	Municipal Securities Representative	Approved	06/02/2005
B FINRA	Investment Banking Representative	Approved	12/08/2009
B FINRA	Operations Professional	Approved	12/02/2011
B FINRA	Investment Banking Principal	Approved	10/01/2018
B FINRA	Compliance Officer	Approved	08/01/2024
B Alabama	Agent	Approved	11/29/2004
B Alaska	Agent	Approved	02/24/2009
B Arizona	Agent	Approved	11/23/2004



## Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	10/28/2004
B California	Agent	Approved	10/28/2004
B Colorado	Agent	Approved	11/09/2004
B Connecticut	Agent	Approved	10/29/2004
B Delaware	Agent	Approved	10/29/2004
B District of Columbia	Agent	Approved	11/24/2004
B Florida	Agent	Approved	10/29/2004
B Georgia	Agent	Approved	10/29/2004
B Hawaii	Agent	Approved	01/31/2005
B Idaho	Agent	Approved	10/28/2004
B Illinois	Agent	Approved	11/03/2004
B Indiana	Agent	Approved	11/09/2004
B Iowa	Agent	Approved	10/28/2004
B Kansas	Agent	Approved	11/01/2004
B Kentucky	Agent	Approved	11/04/2004
B Louisiana	Agent	Approved	11/04/2004
B Maine	Agent	Approved	09/02/2009
B Maryland	Agent	Approved	10/28/2004
B Massachusetts	Agent	Approved	11/05/2004



## Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	11/01/2004
B Minnesota	Agent	Approved	11/04/2004
B Mississippi	Agent	Approved	11/10/2004
B Missouri	Agent	Approved	08/10/2005
B Montana	Agent	Approved	10/28/2004
B Nebraska	Agent	Approved	11/16/2004
B Nevada	Agent	Approved	11/04/2004
B New Hampshire	Agent	Approved	10/28/2004
B New Jersey	Agent	Approved	10/28/2004
B New Mexico	Agent	Approved	11/02/2004
B New York	Agent	Approved	10/29/2004
B North Carolina	Agent	Approved	11/01/2004
B North Dakota	Agent	Approved	11/18/2004
B Ohio	Agent	Approved	10/28/2004
B Oklahoma	Agent	Approved	10/28/2004
B Oregon	Agent	Approved	10/28/2004
B Pennsylvania	Agent	Approved	11/04/2004
B Puerto Rico	Agent	Approved	10/29/2004
B Rhode Island	Agent	Approved	11/08/2004



## Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	10/29/2004
B South Dakota	Agent	Approved	11/02/2004
B Texas	Agent	Approved	11/01/2004
B Utah	Agent	Approved	10/28/2004
B Vermont	Agent	Approved	11/02/2004
B Virgin Islands	Agent	Approved	09/21/2009
B Virginia	Agent	Approved	10/28/2004
B Washington	Agent	Approved	10/28/2004
B West Virginia	Agent	Approved	10/28/2004
B Wisconsin	Agent	Approved	01/25/2005
B Wyoming	Agent	Approved	10/28/2004

## Branch Office Locations

680 E. Colorado Boulevard  
Suite 180  
Pasadena, CA 91101

521 5TH AVENUE  
12TH FLOOR  
NEW YORK, NY 10175

## Employment 2 of 2

Firm Name: **LAIDLAW WEALTH MANAGEMENT LLC**  
Main Address: 521 FIFTH AVE  
12TH FLOOR  
NEW YORK, NY 10175  
Firm ID#: 150040

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	04/19/2010



## Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	03/23/2021

## Branch Office Locations

**LAIDLAW WEALTH MANAGEMENT LLC**

521 FIFTH AVE  
12TH FLOOR  
NEW YORK, NY 10175



## 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 7 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	08/01/2024
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	06/01/2005
 Registered Options Principal Examination (S4)	Series 4	03/10/2003
 General Securities Principal Examination (S24)	Series 24	04/25/2002
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/28/1994

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	06/06/2001
 General Securities Representative Examination (S7)	Series 7	12/24/1991



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/24/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1992

### 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
<b>B</b>	03/30/1999 - 10/29/2004	SANDS BROTHERS & CO., LTD.	CRD# 26816	NEW YORK, NY
<b>B</b>	01/06/1992 - 08/26/1998	CIBC OPPENHEIMER CORP.	CRD# 630	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
03/2010 - Present	Laidlaw Wealth Management	Compliance	Y	New York, NY, United States
10/1999 - Present	LAIDLAW & COMPANY (UK) LTD	NATIONAL BRANCH MANAGER	Y	NEW YORK, NY, 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
Investigation	1

### Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Notice Date:</b>	12/14/2022
<b>Details:</b>	Proposed action alleging violations of Section 15(b)(4) and (6) of the Securities and Exchange Act of 1934
<b>Is Investigation pending?</b>	Yes



## End of Report

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