IAPD Report

STEVEN SCOTT NOVICK

CRD# 2187676

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 SCOTT NOVICK (CRD# 2187676)

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 **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	CRD# 1254	02/03/2025
IA	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	CRD# 283004	02/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	NOVICK & COMPANY FINANCIAL GROUP, LLC	149287	NEW CANAAN, CT	01/12/2018 - 03/18/2025
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	NEW CANAAN, CT	09/11/2009 - 02/11/2025
IA	NOVICK & COMPANY FINANCIAL GROUP, LLC	149287	NEW CANAAN, CT	09/15/2009 - 12/31/2017

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
Termination	1

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

Employment 1 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC**

Main Address: 15495 SW SEQUOIA PARKWAY
SUITE 150
PORTLAND, OR 97224

Firm ID#: 1254

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/03/2025
B	FINRA	Operations Professional	Approved	02/03/2025
B	California	Agent	Approved	02/03/2025
B	Connecticut	Agent	Approved	02/03/2025
B	District of Columbia	Agent	Approved	02/03/2025
B	Florida	Agent	Approved	02/04/2025
B	New Hampshire	Agent	Approved	02/03/2025
B	New Jersey	Agent	Approved	02/03/2025
B	New York	Agent	Approved	02/03/2025
B	Pennsylvania	Agent	Approved	02/03/2025
B	Texas	Agent	Approved	12/04/2025
B	Wyoming	Agent	Approved	02/04/2025

Branch Office Locations

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Qualifications

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
50 LOCUST AVE
FIRST FLOOR
NEW CANAAN, CT 06840

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
JACKSON, WY

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
West Palm Beach, FL

Employment 2 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT ADVISORY, LLC**

Main Address: 400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512

Firm ID#: 283004

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	02/03/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	12/04/2025
IA	Wyoming	Investment Adviser Representative	Approved	02/03/2025

Branch Office Locations

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
JACKSON, WY

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
50 LOCUST AVE
FIRST FLOOR
NEW CANAAN, CT 06840

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
West Palm Beach, FL

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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, 3 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	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/05/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/05/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/1992

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
IA	01/12/2018 - 03/18/2025	NOVICK & COMPANY FINANCIAL GROUP, LLC	CRD# 149287	NEW CANAAN, CT
B	09/11/2009 - 02/11/2025	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	NEW CANAAN, CT
IA	09/15/2009 - 12/31/2017	NOVICK & COMPANY FINANCIAL GROUP, LLC	CRD# 149287	NEW CANAAN, CT
B	10/23/2006 - 09/11/2009	LPL FINANCIAL CORPORATION	CRD# 6413	NEW CANAAN, CT
IA	10/23/2006 - 09/11/2009	LPL FINANCIAL CORPORATION	CRD# 6413	NEW CANAAN, CT
IA	12/18/2002 - 10/13/2006	AXA ADVISORS, LLC	CRD# 6627	STAMFORD, CT
B	12/16/2002 - 10/13/2006	AXA ADVISORS, LLC	CRD# 6627	STAMFORD, CT
IA	08/25/2000 - 12/17/2002	MORGAN STANLEY	CRD# 7556	DARIEN, CT
B	07/24/2000 - 12/17/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	04/12/1995 - 08/08/2000	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/06/1992 - 04/27/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
02/2025 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	EMPLOYEE	N	JACKSON, WY, United States
02/2025 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	JACKSON, WY, United States
02/2025 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	REGISTERED REPRESENTATIVE	Y	JACKSON, WY, United States
09/2009 - 02/2025	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2005 - 02/2025	NOVICK & COMPANY FINANCIAL GROUP, LLC	MANAGING MEMBER	Y	JACKSON, WY, 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.

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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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	2
Termination	1

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:	Regulator
Employing firm when activities occurred which led to the complaint:	NOVICK & COMPANY FINANCIAL GROUP, LLC
Allegations:	Novick was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; misrepresentations and omissions; violations of industry rules; and violations of Connecticut state law.
Product Type:	Other: unspecified securities
Alleged Damages:	$4,999.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #21-02032
Date Notice/Process Served:	08/06/2021
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/07/2022
Disposition Detail:	Novick is liable for and shall pay to Claimant the sum of $5000.00 in compensatory damages plus interest at the rate of 10% per annum from December 16, 2020, until date of this award and is liable for and shall pay to Claimant $175.00 to reimburse Claimant for the filing fee previously paid to FINRA Dispute Resolution Services.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Novick and Company Financial Group LLC
Allegations:	Client alleges misrepresentation and/or misleading information and poor customer service regarding fees on an advisory account.
Product Type:	Other: Advisory Account
Alleged Damages:	$5,375.58
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:	01/28/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	11/04/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-02032
Date Notice/Process Served:	11/04/2021
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/07/2022
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The client, as an individual, had been a client of ours for more than 8 years. Prior to becoming of legal age, he had a custodial account with his uncle. In 2012, he personally completed and signed all his necessary affiliation paperwork. This paperwork included; discretionary agreement, client relationship form, Schwab's required forms and agreements. Since turning 21 years of age, he has been receiving regular monthly statements from Schwab. I have been actively managing this relationship for over 12 years in total. His portfolio had grown from $30k in 2008 to over $112k in December 2019. The account was managed with his stated goal of moderately aggressive management (documented). The client was paying management fees on his account between years 2008 and January 2014. Due to

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some sort of administrative/technological error, fees were not being properly charged on his account between April 2014 - to December 2019. The amount he owed us in fees for this period was more than the $5110.72. Once we realized this error, we proactively let the client know and called him several times to discuss the fee arrears with him. He refused to call us back. After a period of time, we charged the fees we were owed for the 5 year period. Subsequently, he has reached out to us to let us know that he, "would recant his complaint, if we agree to payback most of the fees he has paid". He explicitly stated, "that he has a friend who is a financial advisor who has advised him how to retract this complaint if he gets some cash". We have always managed in accordance with the client's stated goals and objectives. The client had agreed by signing multiple agreement(s) and contract, to pay our management fee. Because there was an error to collect the agreed upon fees, the client wants money from us, or else he will tarnish our good name and reputation.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CUSTOMER ALLEGED THAT BROKER RECOMMENDED UNSUITABLE SECURITIES AND FAILED TO ADVISE CLIENT TO LIQUIDATE SECURITIES AS THE MARKET DECLINED. BROKER DENIED ALL ALLEGATIONS OF WRONGDOING. MORGAN STANLEY FOUND BROKER ACTED PROPERLY. SEE BOX 28 FOR DETAILS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	05/29/2002
Complaint Pending?	No
Status:	Denied
Status Date:	09/26/2002
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	FOLLOWING INVESTIGATION, EMPLOYER MORGAN STANLEY CONCLUDED THAT MR. NOVICK HAD AT ALL TIMES HANDLED THE CUSTOMER'S ACCOUNTS IN A PROFESSIONAL AND WHOLLY APPROPRIATE MANNER. ACCORDINGLY, THE FIRM DENIED THE COMPLAINT BY LETTER DATED SEPTEMBER 26,2002.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC. / UBS PAINEWEBBER
Allegations:	CUSTOMER ALLEGES THAT, FROM APPROXIMATELY MAY 1998 TO MAY 2002, BROKER RECOMMENDED UNSUITABLE SECURITIES AND FAILED TO ADVISE CLIENT TO LIQUIDATE ALLEGEDLY VOLATILE AS THE MARKET

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	DECLINED. BROKER DENIES ALL ALLEGATIONS OF WRONGDOING AND ASSERTS THAT HE COMPLIED WITH CUSTOMER'S INVESTMENT GOALS AND INSTRUCTIONS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	05/29/2002
Complaint Pending?	No
Status:	Denied
Status Date:	09/26/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	FOLLOWING AN INVESTIGATION, MY FORMER EMPLOYER MORGAN STANLEY CONCLUDED THAT I HAD AT ALL TIMES HANDLED THE CUSTOMER'S ACCOUNTS IN A PROFESSIONAL AND WHOLLY APPROPRIATE MANNER. ACCORDINGLY, THE FIRM DENIED THE COMPLAINT BY LETTER DATED SEPTEMBER 26, 2002.

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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	AXA ADVISORS, LLC
Termination Type:	Discharged
Termination Date:	10/12/2006
Allegations:	SOLICITED INTEREST IN A PRIVATE SECURITY TRANSACTION WITHOUT THE APPROVAL OF THE FIRM.
Product Type:	Other
Other Product Types:	

Reporting Source:	Individual
Firm Name:	AXA
Termination Type:	Discharged
Termination Date:	10/12/2006
Allegations:	SOLICITTED INTEREST IN A PRIVATE SECURITY TRANSACTION WITHOUT THE APPROVAL OF THE FIRM
Product Type:	Mutual Fund(s)
Other Product Types:	STOCKS, BONDS, FUNDS, MONEY MARKETS
Broker Statement	BEING DISPUTED

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End of Report

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