



IAPD Report

STEVEN FISHMAN

CRD# 2428781

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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 FISHMAN (CRD# 2428781)

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 **12/04/2024**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA MINT ASSET MANAGEMENT LLC	CRD# 315568	02/10/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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 LEEB BROKERAGE SERVICES, INC.	46195	NEW YORK, NY	11/26/1999 - 02/03/2005
B BRIMBERG & CO.	1315	NEW YORK, NY	01/08/1998 - 02/05/1999
B WINDSOR BENNETT CAPITAL GROUP CORP. 56		NEW YORK, NY	11/03/1994 - 01/30/1996

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






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

Employment 1 of 1

Firm Name: **MINT ASSET MANAGEMENT LLC**
Main Address: 165 BROADWAY
23RD FLOOR
NEW YORK, NY 10006
Firm ID#: 315568

	Regulator	Registration	Status	Date
	New Jersey	Investment Adviser Representative	Approved	02/10/2022
	New York	Investment Adviser Representative	Approved	09/11/2024
	Virginia	Investment Adviser Representative	Approved	10/04/2022

Branch Office Locations

MINT ASSET MANAGEMENT LLC
165 BROADWAY
23RD FLOOR
NEW YORK, NY 10006




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	02/26/2000

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7)	Series 7	01/03/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/21/2021
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/1994

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
B	11/26/1999 - 02/03/2005	LEEB BROKERAGE SERVICES, INC.	CRD# 46195	NEW YORK, NY
B	01/08/1998 - 02/05/1999	BRIMBERG & CO.	CRD# 1315	NEW YORK, NY
B	11/03/1994 - 01/30/1996	WINDSOR BENNETT CAPITAL GROUP CORP.	CRD# 56	NEW YORK, NY
B	03/28/1994 - 08/18/1994	FLETCHER AND FARADAY, INC.	CRD# 29769	HEMPSTEAD, NY
B	01/12/1994 - 03/28/1994	WINDSOR BENNETT CAPITAL GROUP CORP.	CRD# 56	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
03/2020 - Present	MINT ASSET MANAGEMENT	MANAGING MEMBER & CHIEF COMPLIANCE OFFICER	Y	NEW YORK, NY, United States
01/2012 - Present	SAVVY INVESTOR LLC	PARTNER	N	RYE BROOK, NY, United States
11/2011 - Present	GREEN EARTH MERCHANTS LLC	GENERAL PARTNER	N	STATEN ISLAND, NY, United States
04/2008 - Present	DANIMAX LLC	GENERAL PARTNER	N	STATEN ISLAND, 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.

(1) Savvy Investor LLC / Not investment related / Address: 55 Bank Street, Suite 4621, White Plains, NY 10606 / Nature: Marketing consulting services / Position: Partner 50% ownership / Start Date: 01/2012 / 15 hours per month / 0 hours during securities trading hours / Duties: Provide marketing services for financial firms and newsletter publishers with direct response marketing services (2) Green Earth Merchants LLC / Not investment related / Address: 42 Pamela Lane, Staten Island, NY 10304 / Nature: Credit card processing services - 100% owned by Danimax LLC / Start Date: 11/2011 / 5 hours per month / 0 hours during securities trading hours / Duties: Provide credit card processing services for businesses (3) Danimax LLC / Not investment related / Address: 42 Pamela Lane, Staten Island, NY 10304 / Nature: Holding company / Position: General Partner - 60% ownership / Start Date:



Registration & Employment History



OTHER BUSINESS ACTIVITIES

04/2008 / 5 hours per month / 0 hours during securities trading hours / Duties: Holding company that owns 50% Savvy Investor LLC and 100% of Green Earth Merchants, at this time it does not have any active business.



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

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/19/1996

Docket/Case Number: C10960032

Employing firm when activity occurred which led to the regulatory action: WINDSOR BENNETT CAPITAL GROUP, CORP.

Product Type: Other

Other Product Type(s):

Allegations: COMPLAINT NO. C10960032 FILED APRIL 19, 1996 BY DISTRICT NO. 10 AGAINST RESPONDENTS WINDSOR BENNETT CAPITAL GROUP, CORP., STEVEN FISHMAN AND MEREDITH I. HOROWITZ ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 27(B) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT FISHMAN, OPERATED A SECURITIES BUSINESS WITHOUT AN INTRODUCING BROKER/DEALER FINANCIAL AND OPERATIONS LIMITED PRINCIPAL; FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES; RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS FISHMAN AND HOROWITZ, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT HOROWITZ, EFFECTED A WITHDRAWAL OF EQUITY CAPITAL WHILE ITS NET CAPITAL WAS UNDER THE FIRM'S MINIMUM REQUIRED NET



CAPITAL.*****03/31/99GK: DECISION RENDERED MARCH 30, 1999, WHEREIN RESPONDENT FISHMAN IS CENSURED AND BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY, AND RESPONDENT HOROWITZ IS CENSURED, FINED \$1,000, AND BARRED FROM ASSOCIATION WITH ANY NASD MEMBER AS A FINANCIAL AND OPERATIONS PRINCIPAL. NOTWITHSTANDING THE FINDINGS OF RESPONDENT MEMBER'S VIOLATIONS, THE HEARING PANEL DETERMINED NOT TO IMPOSE SANCTIONS AGAINST THE FIRM GIVEN ITS FEBRUARY 6, 1996 WITHDRAWAL FROM NASD MEMBERSHIP. IF NO FURTHER ACTION, DECISION IS FINAL MAY 14, 1999.*****05-04-99, MAY 4, 1999 -APPEALED TO THE NAC

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/28/1999

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered: REQUALIFICATION

Sanction Details: SUSPENDED FROM ASSOCIATING WITH ANY NASD MEMBER FIRM AS A GENERAL SECURITIES PRINCIPAL FOR A PERIOD OF SIX MONTHS; \$5,000.00 FINE; REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL WITHIN 90 DAYS FROM THE DATE THIS ORDER IS ISSUED. IF RESPONDENT FAILS TO REQUALIFY AS A GENERAL SECURITIES PRINCIPAL WITHIN THIS 90 DAY PERIOD, HE SHALL BE SUSPENDED FROM ACTING IN SUCH CAPACITY UNTIL THE EXAMINATION IS SUCCESSFULLY COMPLETED.

Regulator Statement 10/05/1999JJM -- ORDER ACCEPTING OFFER OF SETTLEMENT ISSUED SEPTEMBER 28, 1999. RESPONDENT IS SUSPENDED FROM ASSOCIATING WITH ANY NASD MEMBER FIRM AS A GENERAL SECURITIES PRINCIPAL FOR A PERIOD OF SIX MONTHS AND REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL WITHIN 90 DAYS OF THE ISSUANCE OF THIS ORDER.

11-24-99, THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON NOVEMBER 15, 1999 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON MAY 12,2000.

Reporting Source: Individual
Regulatory Action Initiated By: NASD REGULATION, DISTRICT BUSINESS CONDUCT COMMITTEE #10

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Requalification
Suspension

Date Initiated: 04/19/1996

Docket/Case Number: C10960032

Employing firm when activity occurred which led to the regulatory action: WINDSOR BENNET CAPITAL GROUP CORP.

Product Type: Equity Listed (Common & Preferred Stock)



Other: OTC EQUITIES, CORPORATE DEBT.

Allegations: THE NASD ALLEGED THAT MR. FISHMAN OPERATED A SECURITIES BUSINESS WITHOUT AN INTRODUCING BROKER-DEALER FINANCIAL AND OPERATIONS PRINCIPAL, FAILED TO MAINTAIN WRITTEN SUPERVISORY PROCEDURES CONCERNING THE FIRM'S RECEIPT OF CUSTOMER CHECKS, RECEIVED CUSTOMER CHECKS, ALLEDEDLY RESULTING IN A VIOLATION OF SEC NET CAPITAL RULES.

Current Status: Final

Resolution: Settled

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: 09/28/1999

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Requalification
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: GENERAL SECURITIES PRINCIPAL

Duration: 6 MONTHS

Start Date: 11/15/1999

End Date: 05/12/2000

Requalification 1 of 1

Requalification Type: Requalification by Exam

Length of time given to requalify: 90 DAYS

Type of exam required : GENERAL SECURITIES PRINCIPAL

Has condition been satisfied: Yes

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Broker Statement

WITHOUT ADMITTING OR DENYING ANY OF THE NASD'S ALLEGATIONS ON SEPTEMBER 28, 1999, MR. FISHMAN CONSENTED TO THE ISSUANCE OF AN ORDER OF ACCEPTANCE, IMPOSING ON HIM: (1) A FINE OF \$5000; (2) A SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER AS A GENERAL SECURITIES PRINCIPAL FOR SIX MONTHS; AND (3) A REQUIREMENT THAT REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL. MR. FISHMAN HAS SINCE PAID THE FINE AND SUCCESSFULLY PASSED THE SERIES 24 (GENERAL SECURITIES PRINCIPAL EXAM).



End of Report

This page is intentionally left blank.