



IAPD Report

SCOTT TAYLOR SMITH

CRD# 2909659

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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

SCOTT TAYLOR SMITH (CRD# 2909659)

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 **01/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SILICON PRIVATE WEALTH, LLC	CRD# 284145	03/06/2019
B	DRESNER INVESTMENT SERVICES, INC.	CRD# 35145	08/22/2024

QUALIFICATIONS

This representative is currently registered in **1** 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	VIANT CAPITAL LLC	46948	SAN FRANCISCO, CA	11/05/1999 - 02/13/2024
B	CREDIT SUISSE FIRST BOSTON CORPORATION	816	NEW YORK, NY	01/03/1998 - 08/12/1998

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
Criminal	1
Customer Dispute	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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **DRESNER INVESTMENT SERVICES, INC.**
Main Address: 10 S. LASALLE SUITE 2170
CHICAGO, IL 60603
Firm ID#: 35145

Regulator	Registration	Status	Date
B FINRA	Compliance Officer	Approved	08/22/2024
B FINRA	General Securities Principal	Approved	08/22/2024
B FINRA	General Securities Representative	Approved	08/22/2024
B FINRA	Investment Banking Principal	Approved	08/22/2024
B FINRA	Investment Banking Representative	Approved	08/22/2024
B FINRA	Operations Professional	Approved	08/22/2024
B California	Agent	Approved	08/22/2024

Branch Office Locations

Sonoma, CA

Employment 2 of 2

Firm Name: **SILICON PRIVATE WEALTH, LLC**
Main Address: FREMONT, CA
Firm ID#: 284145

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/06/2019



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

SILICON PRIVATE WEALTH, LLC
FREMONT, CA



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

Principal/Supervisory Exams

Exam	Category	Date
Compliance Officer Examination (S14)	Series 14	01/02/2023
General Securities Principal Examination (S24)	Series 24	05/11/1998

General Industry/Product Exams

Exam	Category	Date
Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/10/1997

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/05/2019
Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/2005

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	11/05/1999 - 02/13/2024	VIANT CAPITAL LLC	CRD# 46948	SAN FRANCISCO, CA
B	01/03/1998 - 08/12/1998	CREDIT SUISSE FIRST BOSTON CORPORATION	CRD# 816	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
05/2024 - Present	Dresner Investment Services, Inc.	Vice-President	Y	Chicago, IL, United States
01/2019 - Present	SILICON PRIVATE WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
11/2017 - 02/2024	Viant Ventures One, LLC	Principal	Y	SAN FRANCISCO, CA, United States
08/1998 - 02/2024	VIANT CAPITAL LLC	CEO	N	SAN FRANCISCO, CA, 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. PUENTE-INTERNATIONAL; Not Investment-related; Sonoma, CA; Tequila & Mescal producer/vendor;; Director; July 2018; Board Duties; 0.25 hours per month; 0.25 hrs./month during trading hours.
2. Viant Capital, LLC; Yes-investment related; Sonoma CA; Investment Banking, Venture Capital (Future investment banking and securities activities will be conducted through Dresner Investment Services); CEO/owner; August 1998; 30-40 hours/month; 4 hours/month during trading hours.
2. Microshares, Inc.; Not-investment related; Philadelphia, PA; IT-Cloud software; Director; February 2018; Director-level service; 5 hours/month; 0.25 hours/month during trading hours.
3. Silicon Private Wealth LLC; Yes-investment related; Fremont, CA; Wealth Advisory/Asset Management; Founder & Managing Director; April 2016; Locate new clients and manage existing client investments; 5-10 hours/month; 0.50 hours/month 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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Court Details: US PARK POLICE, WASHINGTON DC
CASE #-020052

Charge Date: 06/24/1985

Charge Details: ON OR ABOUT JUNE 24, 1985, I WAS ARRESTED AND CHARGED WITH TRESPASSING ON ARLINGTON NATIONAL CEMETERY AND CRIME ON GOVERNMENT RESERVATION.

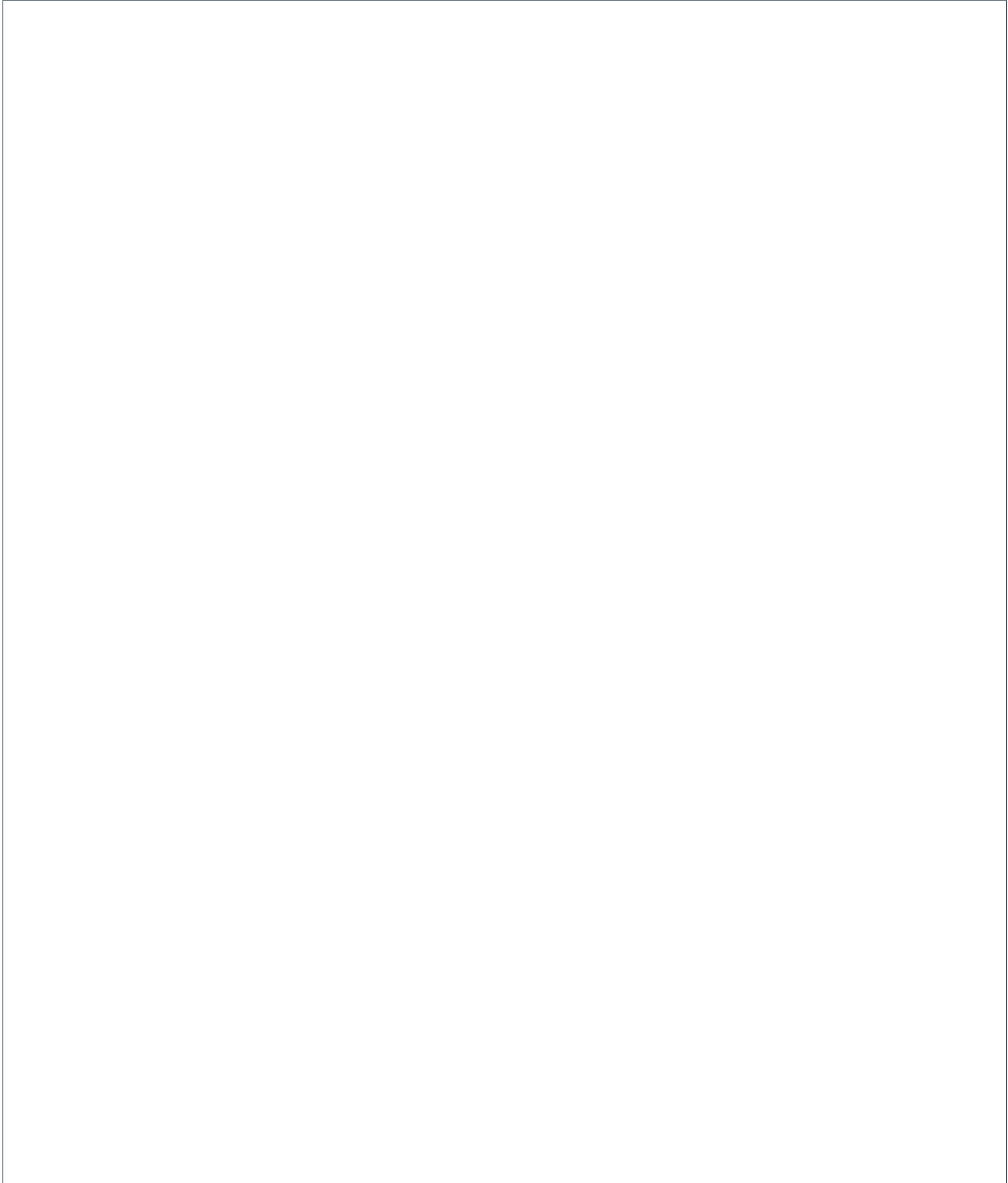
Felony?

Current Status: Final

Status Date: 06/24/1985

Disposition Details: THIS INCIDENT NEVER WENT TO COURT. I EXPLAINED THE CIRCUMSTANCES TO THE UNITED STATES ATTORNEY AND THE CHARGES WERE DISMISSED.

Broker Statement THE POLICE ARREST ME BELIEVING I WAS INVOLVED IN DEFACING GOVERNMENT PROPERTY, THEY SUBSEQUENTLY REALIZED THAT I WAS NOT INVOLVED AND RELEASED ME. I DID NOT REPORT THIS INCIDENT ON MY ORIGINAL FORM FILING BECAUSE I WAS UNDER THE IMPRESSION THAT, BECAUSE THIS MATTER NEVER WENT TO COURT, I WAS NEVER FORMALLY CHARGED. IN ADDITION, I BELIEVE THE ITEMS LISTED ON DEPARTMENT OF JUSTICE REPORT ARE MISDEMEANORS. FINALLY, THE QUESTION AS WRITTEN APPEARED ONLY TO ASK FOR CHARGES INVOLVING FRAUD.





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: Individual

Employing firm when activities occurred which led to the complaint: VIANT CAPITAL, LLC

Allegations: [customer]CORP ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, ETC. RELATING TO THE ENGAGEMENT OF MR. SMITH AND VIANT CAPITAL TO BUILD ITS BUSINESS AND DEVELOP OPPORTUNITIES, FINANCING, ETC.

Product Type: No Product

Alleged Damages: \$264,000,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR COURT OF THE STATE OF CALIFORNIA

Location of Court: SAN FRANCISCO COUNTY

Docket/Case #: UNKNOWN

Date Notice/Process Served: 07/09/2009

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/01/2013

Monetary Compensation Amount: \$450,000.00

Individual Contribution Amount: \$225,000.00

Broker Statement OF THE \$450,000 TOTAL SETTLEMENT PAID TO DEMETER ENERGY, SCOTT SMITH PAID \$225,000 ON BEHALF OF VIANT CAPITAL (TO BE REIMBURSED TO MR. SMITH BY VIANT). IN EXCHANGE SCOTT SMITH AND ANOTHER PARTY RECEIVED STOCK IN [customer] REPRESENTING APPROXIMATELY 24% OF THE COMPANY.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: VIANT CAPITAL, LLC

Allegations: [CUSTOMER] ALLEGED BREACH OF CONTRACT, NEGLIGENT MISREPRESENTATION, CONVERSION, NEGLIGENCE, DEFAMATION AND OTHERS RELATING TO HIS ENGAGEMENT OF MR. SMITH AND VIANT



CAPITAL, LLC. IT IS NOTED THAT [CUSTOMER] MADE THESE CLAIMS ON ALLEGATIONS THAT HE WAS A CUSTOMER OF VIANT CAPITAL, HOWEVER HE WAS NOT.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGES AMOUNT ALLEGED.

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR COURT OF THE STATE OF CALIFORNIA

Location of Court: LOS ANGELES COUNTY CENTRAL DISTRICT

Docket/Case #: BC-468943

Date Notice/Process Served: 09/02/2011

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/01/2013

Monetary Compensation Amount: \$450,000.00

Individual Contribution Amount: \$225,000.00

Broker Statement OF THE \$450,000 TOTAL SETTLEMENT PAID TO DEMETER ENERGY, SCOTT SMITH PAID \$225,000 ON BEHALF OF VIANT CAPITAL (TO BE REIMBURSED TO MR. SMITH BY VIANT). IN EXCHANGE SCOTT SMITH AND ANOTHER PARTY RECEIVED STOCK IN DEMETER ENERGY CORPORATION REPRESENTING APPROXIMATELY 24% OF THE COMPANY.



End of Report

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