



IAPD Report

YEVGENIY SHVETS

CRD# 5159446

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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

YEVGENIY SHVETS (CRD# 5159446)

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 **04/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	02/12/2019
IA	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	02/13/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	SAGEVEST WEALTH MANAGEMENT	143562	MCLEAN, VA	04/25/2018 - 09/12/2018
IA	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	111514	Reston, VA	05/01/2017 - 04/04/2018
IA	TD AMERITRADE, INC.	7870	RESTON, VA	04/27/2017 - 04/04/2018

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



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

Employment 1 of 1

Firm Name: **CAPITOL SECURITIES MANAGEMENT, INC.**

Main Address: 4050 INNSLAKE DRIVE
SUITE 250
GLEN ALLEN, VA 23060

Firm ID#: 14169

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/12/2019
B	FINRA	General Securities Sales Supervisor	Approved	02/12/2019
B	California	Agent	Approved	08/26/2022
B	Connecticut	Agent	Approved	04/09/2025
B	District of Columbia	Agent	Approved	05/11/2023
B	Florida	Agent	Approved	08/29/2022
B	Georgia	Agent	Approved	08/29/2022
B	Kansas	Agent	Approved	08/29/2022
B	Maine	Agent	Approved	01/09/2024
B	Maryland	Agent	Approved	08/29/2022
B	Massachusetts	Agent	Approved	01/08/2024
B	New Jersey	Agent	Approved	01/05/2024
B	New York	Agent	Approved	08/26/2022



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	01/09/2024
B	Ohio	Agent	Approved	08/29/2022
B	Pennsylvania	Agent	Approved	01/08/2024
B	South Carolina	Agent	Approved	08/29/2022
B	Texas	Agent	Approved	01/08/2024
B	Virginia	Agent	Approved	02/13/2019
IA	Virginia	Investment Adviser Representative	Approved	02/13/2019

Branch Office Locations

CAPITOL SECURITIES MANAGEMENT, INC.
12100 Sunset Hills Road
Suite 100
RESTON, VA 20190



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/20/2012
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/07/2012

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	04/04/2018
General Securities Representative Examination (S7)	Series 7	05/06/2008

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/11/2015
Uniform Securities Agent State Law Examination (S63)	Series 63	06/04/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	04/25/2018 - 09/12/2018	SAGEVEST WEALTH MANAGEMENT	CRD# 143562	MCLEAN, VA
IA	05/01/2017 - 04/04/2018	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	CRD# 111514	Reston, VA
IA	04/27/2017 - 04/04/2018	TD AMERITRADE, INC.	CRD# 7870	RESTON, VA
B	04/26/2017 - 04/04/2018	TD AMERITRADE, INC.	CRD# 7870	RESTON, VA
IA	01/27/2017 - 04/05/2017	SCOTTRADE INVESTMENT MANAGEMENT	CRD# 169988	SAINT LOUIS, MO
B	09/23/2016 - 04/05/2017	SCOTTRADE, INC.	CRD# 8206	ASHBURN, VA
IA	07/22/2015 - 09/13/2016	STRATEGIC ADVISERS, INC.	CRD# 104555	BETHESDA, MD
B	05/28/2015 - 09/12/2016	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	BETHESDA, MD
B	05/07/2008 - 04/13/2015	SCOTTRADE, INC.	CRD# 8206	VIENNA, VA

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
01/2024 - Present	Yevgeniy Shvets-Translator	Translator	N	Sterling, VA, United States
02/2019 - Present	Capitol Securities Management, Inc.	Operations Analyst	Y	Reston, VA, United States
08/2018 - 02/2019	UGK Trading Inc	Administrative Assistant	N	Sterling, VA, United States
04/2018 - 08/2018	SageVest Wealth Management	Financial Advisor Associate	Y	McLean, VA, United States
04/2017 - 03/2018	TD Ameritrade	Sr. Financial Consultant	Y	Reston, VA, United States
09/2016 - 03/2017	SCOTTRADE, INC.	INVESTMENT CONSULTANT	Y	ASHBURN, VA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2015 - 09/2016	FIDELITY BROKERAGE SERVICES LLC	INVESTMENT CONSULTANT	Y	BETHESDA, MD, 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.

Name of Business: Yevgeniy Shvets-Translator

Investment-related: no

Address: 20447 Stone Skip Way, Sterling, VA 20165

Nature of OBA: Translating material from foreign language into English

Position, title, or relationship with OBA: Translator/Admin Assistant

Start date: 1/31/24

Approx # of hours/month you devote to OBA: 70

Approx # of hours/month you devote to OBA during trading hours: 0

Duties: Assisting my father with translating materials from foreign language into English



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

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:	THE CIRCUIT COURT OF SPOTSYLVANIA COUNTY SPOTSYLVANIA C.H., VIRGINIA CASE NUMBER CR05-1468 AND CR05/1532
Charge Date:	05/28/2005
Charge Details:	1 COUNT MISDEMEANOR POSSESSION OF MARIJUANA 1 COUNT FELONY POSSESSION OF A SCHEDULE II CONTROLLED SUBSTANCE
Felony?	Yes
Current Status:	Final
Status Date:	02/14/2006
Disposition Details:	1 COUNT OF MISDEOMEANOR POSSESSION OF MARIUANA CR05-1532 WAS NOLL PROSQUIED - DISMISSED 1 COUNT OF FELONY POSSESSION CR05-1468 WAS REDUCED TO A CHARGE OF A MISDEMEANOR POSSESSION OF A SCHEDULE III CONTROLLED SUBSTANCE IN WHICH THE DEFENDANT PLEAD GUILTY IN ACCORDANCE WITH THE PLEA AGREEMENT. SENTENCED TO 6 MONTHS CONFINEMENT WITH 6 MONTHS SUSPENDED UPON THE FOLLOWING CONDITIONS: 1. GOOD BEHAVIOR FOR 5 YEARS. 2) WILL PAY A FINE OF \$1,500 AND ALL COURT COSTS TO BE CALCULATED AND PAID WITHIN 30 DAYS 3) THAT THE DEFENDANTS PRIVILEGE TO OPERATE A MOTOR VEHICLE IN THE COMMONWEALTH OF VIRGINA BE REVOKED FOR 6 MONTHS 4) THAT THE DEFENDANT HEREBY WAIVES HIS FOURTH AMENDMENT RIGHT AGAINST UNREASONABLE SEARCH AND SEIZURES AT ANY TIME AND BY ANY LAW ENFORCEMENT OFFICER DURING THE PERIOD OF 5 YEARS FROM THE DATE OF ENTRANCE OF THIS PLEA.



End of Report

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