



IAPD Report

STEPHEN JOSEPH LOCOCO

CRD# 707656

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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

STEPHEN JOSEPH LOCOCO (CRD# 707656)

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 **12/17/2016**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FOOTPRINTS ASSET MANAGEMENT & RESEARCH, INC.	CRD# 128040	01/28/2004

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	GVC CAPITAL LLC	38923	OMAHA, NE	06/13/2003 - 12/31/2016
IA	SMITH HAYES ADVISERS INC	110776	OMAHA, NE	10/02/2002 - 06/13/2003
B	SMITH HAYES FINANCIAL SERVICES CORPORATION	17059	LINCOLN, NE	06/07/2002 - 06/11/2003

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



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: **FOOTPRINTS ASSET MANAGEMENT & RESEARCH, INC.**
Main Address: OMAHA, NE
Firm ID#: 128040

Regulator	Registration	Status	Date
IA Iowa	Investment Adviser Representative	Approved	03/09/2004
IA Nebraska	Investment Adviser Representative	Approved	02/26/2004
IA Texas	Investment Adviser Representative	Restricted Approval	01/28/2004

Branch Office Locations

FOOTPRINTS ASSET MANAGEMENT & RESEARCH, INC.
11422 MIRACLE HILLS DRIVE, STE. 208
OMAHA, NE 68154




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/03/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	12/31/2016
 General Securities Representative Examination (S7)	Series 7	04/19/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/08/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1980

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	06/13/2003 - 12/31/2016	GVC CAPITAL LLC	CRD# 38923	OMAHA, NE
IA	10/02/2002 - 06/13/2003	SMITH HAYES ADVISERS INC	CRD# 110776	OMAHA, NE
B	06/07/2002 - 06/11/2003	SMITH HAYES FINANCIAL SERVICES CORPORATION	CRD# 17059	LINCOLN, NE
B	11/05/1990 - 05/31/2002	KIRKPATRICK, PETTIS, SMITH, POLIAN INC.	CRD# 490	OMAHA, NE
B	04/25/1980 - 10/16/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/25/1980 - 12/19/1983	FIRST MID-AMERICA INC.	CRD# 306	

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
06/2003 - Present	GVC CAPITAL LLC	BROKER	Y	GREENWOOD VILLAGE, CO, 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.

OWNER OF MIDTOWN BODY AND PAINT SHOP SINCE 1982, LOCATED AT 1920 L STREET, LINCOLN, NE 68510. NOT INVESTMENT RELATED, 10 HRS/YEAR.

OWNER AND ADVISOR OF FOOTPRINTS ASSET MANAGEMENT, AN INVESTMENT ADVISORY FIRM AT 11422 MIRACLE HILLS DR. SUITE 208 OMAHA, NE. INVESTMENT RELATED; FULL TIME.

ON THE BOARD OF DIRECTORS OF WEGENER CORP SINCE 2007. A PUBLIC COMPANY LOCATED AT 11350 TECHNOLOGY CIRCLE, JOHNS CREEK, GA 30097, SPECIALIZING IN THE DESIGN AND MANUFACTURING OF SATELLITE COMMUNICATION EQUIPMENT. ABOUT 25 HOURS/YEAR.



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
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: PAINE WEBBER INC.

Allegations: BRCH OF FIDUCIARY DT; OTHER; UNKNOWN TYPE OF CONTROVERSY; UNKNOWN TYPE OF CONTROVERSY

Product Type:

Alleged Damages: \$1,125.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #88-01339

Date Notice/Process Served: 01/01/1988

Arbitration Pending? No

Disposition: Other

Disposition Date: 08/15/1989

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,125.0

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: PAINWEBBER INC.

Allegations: CUSTOMER HAD STATED IN A LETTER THAT I USED UNAUTHORIZED TRADING AND THAT UNNECESSARY TRANSACTION TOOK PLACE. THE ALLEGED DAMAGES OF THIS COMPLAINT IS \$42,000.

Product Type: Equity - OTC

Other Product Type(s): EQUITY LISTED

Alleged Damages: \$1,125.00

Customer Complaint Information

Date Complaint Received: 06/01/1988

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/15/1989

Settlement Amount: \$1,125.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 88-01339

Date Notice/Process Served: 01/01/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/15/1989

Monetary Compensation Amount: \$1,125.00

Individual Contribution Amount: \$0.00

Broker Statement THERE WAS NO PENALTY, THERE WAS NO FINE GIVEN. I PAID NOTHING TO CUSTOMER. I WAS GIVEN NO SUSPENSION OR RESTRICTION. THE CASE WAS SETTLED.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PAINE WEBBER

Allegations: UNAUTHORIZED TRADING AND FAILURE TO FOLLOW INSTRUCTIONS. CLAIMANT ALLEGED \$21,235 IN DAMAGES. GRAPHIC SCANNING AND HOWSTECK INVESTMENTS

Product Type:

Alleged Damages: \$21,235.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange

Date Notice/Process Served: 10/13/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date:

Monetary Compensation Amount: \$14,850.00

Individual Contribution Amount:

Firm Statement Not Provided
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INC

Allegations: THE CLIENT ALLEGES UNAUTHORIZED TRADING, UNSUITABLE INVESTMENTS, AND FAILURE TO FOLLOW INSTRUCTIONS. CLAIMING DAMAGES OF \$30,000.

Product Type: Equity - OTC

Other Product Type(s): EQUITY LISTED

Alleged Damages: \$21,235.00

Customer Complaint Information

Date Complaint Received: 10/13/1989

Complaint Pending? No

Status: Settled

Status Date: 07/27/1990

Settlement Amount: \$14,850.00

Individual Contribution Amount: \$0.00



Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NEW YORK STOCK EXCHANGE

Date Notice/Process Served: 10/13/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/27/1990

**Monetary Compensation
Amount:** \$14,850.00

**Individual Contribution
Amount:** \$0.00

Broker Statement SETTLED BY PAINWEBBER. I WAS RELEASED OF ANY MONETARY AWARD
OR FINES DUE OR ANY WRONGDOING.



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: SMITH HAYES FINANCIAL SERVICES
Termination Type: Discharged
Termination Date: 06/06/2003
Allegations: MR. LCOCO VIOLATED NASD CONDUCT RULE 2510(B), 2310 AND VOTING PROXIES ON CUSTOMER SECURITIES.
Product Type: No Product
Other Product Types:

Reporting Source: Individual
Firm Name: SMITH HAYES FINANCIAL SERVICES
Termination Type: Discharged
Termination Date: 06/11/2003
Allegations: SMITH HAYES REPORTED THAT MR. LOCOCO VIOLATED NASD CONDUCT RULE 2510 (B), 2310 AND INTERNAL POLICIES AND PROCEDURES RELATING TO SEC RULE 17A-3 AND VOTING PROXIES ON CUSTOMER SECURITIES.
Product Type: No Product
Other Product Types:

Broker Statement STEVE LOCOCO DENIES THAT HE VIOLATED ANY NASD OR SEC RULES AS ALLEGED BY SMITH HAYES FINANCIAL SERVICES, HE AFFIRMATIVELY STATES THAT HIS TERMINATION WAS WITHOUT CAUSE IN RELATION TO ISSUES OVER INTERNAL ADMINISTRATION PRACTICES, AND THAT NONE OF THE ALLEGATIONS RELATE TO SALES ACTIVITY.



End of Report

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