

## BrokerCheck Report

### JENNIFER LYNN STEELE

CRD# 2761110

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**JENNIFER L. STEELE**

CRD# 2761110

**Currently employed by and registered with the following Firm(s):**

- B CORINTHIAN PARTNERS, L.L.C.**  
1727 Coachman Plaza Drive  
Suite 114  
Clearwater, FL 33759  
CRD# 38912  
Registered with this firm since: 02/23/2017

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):**

- B HARBOR LIGHT SECURITIES, LLC**  
CRD# 130227  
TAMPA, FL  
07/2012 - 12/2016
- B J.P. TURNER & COMPANY, L.L.C.**  
CRD# 43177  
TAMPA, FL  
12/2009 - 07/2012
- B GUNNALLEN FINANCIAL, INC**  
CRD# 17609  
TAMPA, FL  
03/2003 - 12/2009

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	1



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **CORINTHIAN PARTNERS, L.L.C.**

Main Office Address: **570 LEXINGTON AVENUE  
SUITE 1600  
NEW YORK, NY 10022**

Firm CRD#: **38912**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	02/23/2017
<b>B</b>	FINRA	Municipal Securities Representative	Approved	09/02/2022

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Florida	Agent	Approved	02/09/2018

### Branch Office Locations

**CORINTHIAN PARTNERS, L.L.C.**  
1727 Coachman Plaza Drive  
Suite 114  
Clearwater, FL 33759



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/22/2000

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/06/2003

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 07/2012 - 12/2016	HARBOR LIGHT SECURITIES, LLC	130227	TAMPA, FL
<b>B</b> 12/2009 - 07/2012	J.P. TURNER & COMPANY, L.L.C.	43177	TAMPA, FL
<b>B</b> 03/2003 - 12/2009	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
<b>B</b> 08/2000 - 03/2003	WACHOVIA SECURITIES FINANCIAL NETWORK, INC.	11025	ST. LOUIS, MO

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
02/2017 - Present	Corinthian Partners	Registered Representat	Y	NEW YORK, NY, United States
07/2012 - Present	HARBOR LIGHT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	HILTON HEAD, NC, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. ANSLEY EMERSON LLC, 6869 100TH AVE N, PINELLAS PARK, FL 33782, NON-INVESTMENT RELATED, TAX PLANNING, ASSET PROTECTION, APPROX 4 HRS/MO, 0 HRS DURING TRADING HOURS, EFF 1/24/19, MANAGER, BOOKKEEPING
2. SUCCESS BY DESIGN, NON-INVESTMENT RELATED, MEDICAL OFFICE, 10 HRS/MO, 0 HRS DURING TRADING HOURS, EFF 10/2/21, PATIENT COORDINATOR
3. FLORIDA TOP DOG ALL STARS, NON-INVESTMENT RELATED, CHEERLEADING COACH, EFF 9/12/22, 10-20 HRS/MO, 0 HRS DURING TRADING HOURS



## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A
Judgment/Lien	1	N/A	N/A





## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 11/01/2016

**Docket/Case Number:** [2014040343702](#)

**Employing firm when activity occurred which led to the regulatory action:** Harbor Light Securities, LLC

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Steele consented to the sanctions and to the entry of findings that she failed to provide prior written notice to, and receive approval from her employing member firm of an outside business activity for which she was the sole owner and managing member, and from which she had a reasonable expectation of compensation. Specifically, the outside business activity was a limited liability corporation that had been formed for tax and asset protection purposes, and Steele received a salary and distributions from the outside business. The findings stated that the firm's written supervisory procedures (WSPs) required registered representatives to provide prior written notice to the firm and to receive approval from the firm for all outside business activities.

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 11/01/2016

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

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	Any capacity
<b>Duration:</b>	one month
<b>Start Date:</b>	12/05/2016
<b>End Date:</b>	01/04/2017

**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:** 11/22/2016**Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 11/01/2016**Docket/Case Number:** [2014040343702](#)**Employing firm when activity occurred which led to the regulatory action:** HARBOR LIGHT SECURITIES, LLC**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Steele consented to the sanctions and to the entry of findings that she failed to provide prior written notice to, and receive approval from her employing member firm of an outside business activity for which she was the sole owner and managing member, and from which she had a reasonable expectation of compensation. Specifically, the outside business activity was a limited liability corporation that had been formed for tax and asset protection purposes, and Steele received a salary and distributions from the outside business. The findings stated that the firm's written supervisory procedures (WSPs) required registered representatives to provide prior written notice to the firm and to receive approval from the firm for all outside business activities.

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 11/01/2016

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

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** Any capacity

**Duration:** one month

**Start Date:** 12/05/2016

**End Date:** 01/04/2017

**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:**



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. TURNER & COMPANY LLC
<b>Allegations:</b>	CLIENTS ALLEGE UNSUITABLE INVESTMENT
<b>Product Type:</b>	Other: LIMITED PARTNERSHIP
<b>Alleged Damages:</b>	\$30,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/19/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	10/09/2013
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. TURNER & COMPANY LLC
<b>Allegations:</b>	CLIENTS ALLEGE UNSUITABLE INVESTMENT
<b>Product Type:</b>	Other: LIMITED PARTNERSHIP



**Alleged Damages:** \$30,000.00

**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:** 03/19/2013

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 10/09/2013

**Settlement Amount:**

**Individual Contribution  
Amount:**



## Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	DIRECT GENERAL INSURANCE CO
<b>Judgment/Lien Amount:</b>	\$3,301.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed:</b>	12/01/2009
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	COUNTY COURT OF THE SIXTH JUDICAL CIRCUIT
<b>Location of Court:</b>	PINELLAS COUNTY, FL
<b>Docket/Case #:</b>	067855SC-47
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	<p>LAST WEEK WHEN I DECIDED TO CHANGE FIRMS I WAS NOTIFIED BY MY NEW FIRM WHEN THEY PULLED MY PRE-HIRE THAT I HAD AN OUTSTANDING LIEN FOR ABOUT \$3,000 THAT I HAD NO KNOWLEDGE OF. I CONTACTED THE INSURANCE COMPANY THAT HAD FILED IT TO FIND OUT WHAT IT WAS ABOUT. THEY TOLD ME IT HAD TO DO WITH AN ACCIDENT BACK IN 2005. THIS ACCIDENT WAS NOT MY FAULT AND THE OTHER DRIVER WHICH WAS A CUSTOMER OF THEIRS WAS AT FAULT. THEY COVERED MY MEDICAL, AUTO AND RENTAL BILLS. I SUBMITTED EVERYTHING TO THE INSURANCE COMPANY PER THEIR REQUEST AND THEY TOOK CARE OF IT. SOMEWHERE IN 2007 THEY DECIDED THAT THEY OVERPAID SOME OF MY BILLS. I WAS NEVER CONTACTED OR NOTIFIED OF THIS. WHEN I SPOKE TO THE LAW FIRM THAT ACTED ON BEHALF OF THE INSURANCE COMPANY THEY TOLD ME THAT WHEN THEY TRIED TO CONTACT ME THEY HAD RECEIVED RETURN MAIL ON THE ADDRESS OF RECORD. I HAVE REQUESTED THE DOCUMENTATION FROM THE INSURANCE COMPANY AND THEIR LAW FIRM SO THAT I CAN RESOLVE THIS MATTER.</p>



## End of Report



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