

E. Steve Scales
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President, Consulting Division
Secure Financial Services, Inc.

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Experience:

- 2007-Present - President, Consulting Division, Secure Financial Services, Inc.
- 2003-Present - CEO, Scales Consulting Group
- 1986-2003 – Morgan Stanley (and its predecessors Morgan Stanley Dean Witter and Dean Witter Reynolds, Inc.) Senior Vice President, Branch Manager, Memphis, TN
 - Three Time Member Manager’s Advisory Council
 - Faculty of the Morgan Stanley Branch Manager Training Program
 - Faculty of the Morgan Stanley Financial Advisor Training Program
- 1984-1986 – Dean Witter Reynolds, Inc. (now Morgan Stanley) Vice President, Branch Manager, Nashville, TN
- 1983-1984 – J.C. Bradford & Co. Vice President, Sales Manager, Nashville, TN
- 1983-present – Participant in various NASD, NYSE, and AAA arbitrations as corporate representative or arbitrator; participant in various mediations.
- 1978-1983 – J.C. Bradford & Co. Account Executive, Nashville, TN

NASD Industry Arbitrator – 1992 to present

NASD Chairperson Securities Qualified – 1996

Testified in over 350 cases in FINRA, AAA, and NYSE forums

Education:

- Vanderbilt University School of Engineering 1975-1978
- Western Governor’s University 2014-2015
 - BS, Business Management

Licenses:

All the following became “inactive” upon retirement from Morgan Stanley:

- Series 3 Registered Commodity Representative
- Series 4 Registered Options Principal
- Series 5 Interest Rate Options Representative
- Series 7 General Securities Representative
- Series 8 NYSE Branch Office Manager
- Series 63 Uniform Securities Agent
- Series 65 Uniform Investment Advisor
- State of Tennessee- Variable and Life Licenses