

## BrokerCheck Report

**JOSEPH ANTHONY BUONTEMPO SR**

CRD# 1147390

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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.

## 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).

**JOSEPH A. BUONTEMPO SR**

CRD# 1147390

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

- B** **PARKLAND SECURITIES, LLC**  
 1020 SOUTH AVENUE WEST  
 WESTFIELD, NJ 07090  
 CRD# 115368  
 Registered with this firm since: 02/09/2002

**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
- 2 General Industry/Product Exams
- 0 State Securities Law Exams

**Registration History**

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

- B** **WALNUT STREET SECURITIES, INC.**  
 CRD# 15840  
 EL SEGUNDO, CA  
 04/1997 - 02/2002
- B** **WALNUT STREET SECURITIES, INC.**  
 CRD# 15840  
 EL SEGUNDO, CA  
 06/1996 - 06/1996
- B** **NORTH AMERICAN MANAGEMENT, INC.**  
 CRD# 624  
 SIOUX FALLS, SD  
 03/1996 - 06/1996

**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
Customer Dispute	2
Termination	1
Judgment/Lien	2



## 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: **PARKLAND SECURITIES, LLC**

Main Office Address: **300 PARKLAND PLAZA  
ANN ARBOR, MI 48103**

Firm CRD#: **115368**

SRO	Category	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	02/09/2002

U.S. State/ Territory	Category	Status	Date
<b>B</b> New Jersey	Agent	Approved	02/09/2002

### Branch Office Locations

**PARKLAND SECURITIES, LLC**  
1020 SOUTH AVENUE WEST  
WESTFIELD, NJ 07090

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## 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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	07/16/1984

### State Securities Law Exams

Exam	Category	Date
No information reported.		

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> 04/1997 - 02/2002	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
<b>B</b> 06/1996 - 06/1996	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
<b>B</b> 03/1996 - 06/1996	NORTH AMERICAN MANAGEMENT, INC.	624	SIOUX FALLS, SD
<b>B</b> 06/1994 - 12/1995	TFS SECURITIES, INC.	20626	LINCROFT, NJ
<b>B</b> 08/1992 - 08/1993	NEW ENGLAND SECURITIES	615	NEW YORK, NY
<b>B</b> 06/1991 - 10/1991	NEW ENGLAND SECURITIES	615	NEW YORK, NY
<b>B</b> 09/1986 - 06/1991	PML SECURITIES COMPANY	4082	NEWARK, DE
<b>B</b> 09/1984 - 12/1988	MOORE & SCHLEY/MEEKER SHARKEY GROUP INC.	13502	

### 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
08/2014 - Present	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
08/1993 - Present	BUONTEMPO INSURANCE SERVICE~S	OTHER - INSURANCE BROKER	N	WESTFIELD, NJ, United States
07/1993 - Present	BUOTTEMPO INSURANCE SERVICES	OTHER - INS INVESTMENT SALES	N	WESTFIELD, NJ, 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.

## Registration and Employment History



### Other Business Activities, continued

1. BUONTEMPO INSURANCE & INVESTMENT SERVICES: SELLS VARIOUS INSURANCE PRODUCTS THROUGH VARIOUS INSURANCE COMPANIES & SELLS VARIOUS ANNUITIES & MUTUAL FUNDS THROUGH Parkland Securities
  2. B&B PROPERTIES, LLC: CONSTRUCTION & MANAGER FOR SINGLE FAMILY, MULTIFAMILY HOMES & RENTAL OF REAL ESTATE UNITS.
  3. GENTEMP PROPERTIES: CONSTRUCTION FOR SINGLE FAMILY, MULTIFAMILY HOMES & RENTAL OF SINGLE FAMILY & MULTI-USE UNITS.
  4. Managing Partner - JOSEPH BUONTEMPO LLC, real estate holding company.
  5. Managing Partner - Pete & Ben LLC, construction company for single family homes for sale
  6. Managing Partner - Mike & Pop LLC, real estate holdings
  7. The Bentley Westfield, LLC - minority member through Gentemp LLC of 2 member LLC. Mixed use building in Westfield, NJ including apartments and commercial space. Start date: 10/28/21, approx. 50 hrs/mo, none during mkt hrs. INV REL: N
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## 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.
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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.
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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
Customer Dispute	0	2	N/A
Termination	N/A	1	N/A
Judgment/Lien	2	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.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SAMMONS SECURITIES COMPANY, LLC
<b>Allegations:</b>	REGARDING INVESTMENTS MADE WITH MR. BUONTEMPO IN DECEMBER 1998 AND JANUARY 2000. THE ESTATE ALLEGES POLICIES SOLD TO [CUSTOMER] WERE UNSUITABLE GIVEN HER AGE, HEALTH AND FINANCIAL STATUS.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$71,500.00

### Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	SUPERIOR COURT OF NEW JERSEY
<b>Location of Court:</b>	MIDDLESEX COUNTY, NEW JERSEY
<b>Docket/Case #:</b>	DOCKET NO: MID-L-2500-06
<b>Date Notice/Process Served:</b>	04/10/2006
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/27/2010



**Monetary Compensation Amount:** \$75,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** " AS THE REGISTERED REPRESENTATIVE I AGREED TO SETTLE THIS MATTER ON A COSTS OF DEFENSE AMOUNT BASED ON THE ADVISE OF MY LEGAL COUNSEL. AS THE REGISTERED REPRESENTATIVE I MAINTAIN THAT I DID NOT COMMIT ANY WRONGDOING IN THE HANDLING OF THIS ACCOUNT AND THE LET THE RECORD REFLECT THIS AS SUCH."



## 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>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WALNUT STREET SECURITIES
<b>Allegations:</b>	IN WRITTEN COMPLAINT, CLIENTS ALLEGE VUL POLICIES SOLD TO THEM IN FEB 1999 AND FEB 2001 WERE MISREPRESENTED. REQUEST FULL REFUND OF PREMIUMS PAID.
<b>Product Type:</b>	Insurance
<b>Other Product Type(s):</b>	VARIABLE UNIVERSAL LIFE INSURANCE POLICIES AND FIXED LIFE INSURANCE POLICIES
<b>Alleged Damages:</b>	\$40,918.65

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/29/2005
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/15/2005
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Broker

**Employer Name:** NEW ENGLAND MUTUAL LIFE INSURANCE COMPANY

**Termination Type:** Discharged

**Termination Date:** 07/26/1993

**Allegations:** TX #E10 93 2923  
NEW ENGLAND LIFE MADE AN ALLEGATION THAT I  
WAS INVOLVED WITH MISAPPRATIVE OF INSURANCE CLIENTS FUNDS. THE  
NASD INVESTIGATED THE ALLEGATIONS & FOUND NO WRONGDOING ON  
MY  
BEHALF. I WAS EXONERATED & ABLE TO CONTINE WITH MY SEIRES 6  
LICESE.

**Product Type:**

**Other Product Types:**

**Broker Statement**

NO SUSPENSION NO FINES NO SUPERVISOR. I WAS  
ABLE TO CONTINUE WITH MY SERIES 6 LICENSE 7 IN MAY OR IN MARCH  
1996 I WAS EMPLOYED WITH NORTH AMERICAN MANAGEMENT UNTIL  
TITEY  
MERGED WITH WALNUT STREET IN JUNE OF 1996. I WAS THEN  
TERMINATED.  
IN JULY 1993 I WAS TERMINATED FROM THE NEW  
ENGLAND LIFE INS CO THE FIRM BELIVED THAT I MISAPPRORIATED  
FUNDS FROM MY INSURANCE CLIENTS. IN SIMPLE LANGUAGE OF  
ADVANCED THE FIRST MONTHS PREMIUM ON BEHALF OF MY CLIENTS  
FOR  
THE PURCHASED OF LIFE INSURANCE. SUBSEQUENTLY WHEN THE  
PREMIUM  
WERE REPAID BY THE CLIENT A REFUND CHECK WAS ISSUED. THE  
CHECKS WERE ISSUED IN THER NAME OF THE CLIENT AS OPPOSED TO  
ME  
PERSONALLY. I RECEIVED PREMISSION FROM MY CLIENT TO DEPOSIT  
THE REFUNDED CHECKS INTO MY BUSINESS CHURNING ACCOUT. I  
SHOULD  
HAVE INSTRUCTED MY CLIENT TO ISSUE ME A PENSAL CHECK INSTEAD.  
I DO NOT ISSUE ANY PREMIUM FOR ANY CLEINTS SINCE. NO R WILL I.





## Judgment / Lien

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

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	MD Hakum Kutlu,
<b>Judgment/Lien Amount:</b>	\$2,234.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	01/21/2020
<b>Date Individual Learned:</b>	08/17/2021
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Superior Court of New Jersey
<b>Location of Court:</b>	Union County Courthouse, Elizabeth, New Jersey
<b>Docket/Case #:</b>	DC00100720
<b>Judgment/Lien Outstanding?</b>	Yes

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	New Jersey Anesthesia Association
<b>Judgment/Lien Amount:</b>	\$975.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	02/08/2011
<b>Date Individual Learned:</b>	08/17/2021
<b>Type of Court:</b>	County
<b>Name of Court:</b>	Union County Courthouse
<b>Location of Court:</b>	Elizabeth, New Jersey
<b>Docket/Case #:</b>	DC00222711
<b>Judgment/Lien Outstanding?</b>	Yes

## End of Report



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