

BrokerCheck Report

WILLIAM JOSEPH GOEBELBECKER

CRD# 1719974

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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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**WILLIAM J. GOEBELBECKER**

CRD# 1719974

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

- B STONEX FINANCIAL INC.**
 230 PARK AVENUE, 10TH FLOOR
 NEW YORK, NY 10169
 CRD# 45993
 Registered with this firm since: 09/13/2023

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:

- 2 Self-Regulatory Organizations
- 14 U.S. states and territories

This broker has passed:

- 2 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 COWEN AND COMPANY**
 CRD# 7616
 NEW YORK, NY
 05/2019 - 07/2023
- B NOMURA SECURITIES INTERNATIONAL, INC.**
 CRD# 4297
 NEW YORK, NY
 11/2018 - 05/2019
- B MORGAN STANLEY & CO. LLC**
 CRD# 8209
 NEW YORK, NY
 02/2000 - 10/2018

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



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 2 SROs and is licensed in 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **STONEX FINANCIAL INC.**

Main Office Address: **329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789**

Firm CRD#: **45993**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/13/2023
B	FINRA	General Securities Sales Supervisor	Approved	09/13/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	06/18/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/18/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/22/2023
B	California	Agent	Approved	09/14/2023
B	Colorado	Agent	Approved	09/15/2023
B	Connecticut	Agent	Approved	09/14/2023
B	Florida	Agent	Approved	09/14/2023
B	Illinois	Agent	Approved	09/25/2023
B	Massachusetts	Agent	Approved	09/14/2023
B	Minnesota	Agent	Approved	09/14/2023
B	New Jersey	Agent	Approved	09/19/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	09/14/2023
B	Pennsylvania	Agent	Approved	09/15/2023
B	Texas	Agent	Approved	09/15/2023
B	Utah	Agent	Approved	09/14/2023
B	Virginia	Agent	Approved	09/18/2023

Branch Office Locations

STONEX FINANCIAL INC.
230 PARK AVENUE, 10TH FLOOR
NEW YORK, NY 10169



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	10/01/2002
B General Securities Sales Supervisor - Options Module Examination	Series 9	08/16/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/19/1987
B National Commodity Futures Examination	Series 3	12/09/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/22/1987

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/.

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 05/2019 - 07/2023	COWEN AND COMPANY	7616	NEW YORK, NY
B 11/2018 - 05/2019	NOMURA SECURITIES INTERNATIONAL, INC.	4297	NEW YORK, NY
B 02/2000 - 10/2018	MORGAN STANLEY & CO. LLC	8209	NEW YORK, NY
B 04/2013 - 12/2017	MORGAN STANLEY	149777	NEW YORK, NY
B 04/1995 - 01/2000	LAZARD FRERES & CO. LLC	2528	NEW YORK, NY
B 03/1992 - 03/1995	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 06/1990 - 02/1992	PRINTON, KANE GROUP, INC.	23667	
B 05/1989 - 04/1990	JEFFERIES & COMPANY, INC.	2347	NEW YORK, NY
B 05/1988 - 04/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B 01/1988 - 02/1988	E. F. HUTTON & COMPANY INC	235	

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
09/2023 - Present	STONEX FINANCIAL INC.	MANAGING DIRECTOR - CREDIT SALES	Y	NEW YORK, NY, United States
09/2023 - Present	STONEX GROUP INC.	EMPLOYEE	Y	NEW YORK, NY, United States
05/2019 - 06/2023	Cowen and Company, LLC	Managing Director Fixed Income Sales	Y	New York, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2018 - 04/2019	Nomura Securities International, Inc.	Managing Director	Y	New York, NY, United States
02/2000 - 10/2018	MORGAN STANLEY & CO INCORPORATED	VP	Y	NEW YORK, NY, 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.

Registered Representative may be coded as employee of parent or an affiliate of the parent. The employee may also have various roles for the Firm's affiliates including but not limited to Board positions; please refer to Item 12 (employment section of the U4) for information. Hours may vary as dictated by corporate needs.

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



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:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/25/1993
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/25/1993
Sanctions Ordered:	Cease and Desist/Injunction Censure

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

+6/2/93 SEC NEWS DIGEST, ISSUE 93-99 DATED MAY 25, 1993
 ADMINISTRATIVE PROCEEDINGS DISCLOSES; "ADMINISTRATIVE
 PROCEEDINGS ORDERED AGAINST WILLIAM GOEBELBECKER"; THE
 COMMISSION TODAY ANNOUNCED THE INSTITUTION OF ADMINISTRATIVE
 PROCEEDINGS PURSUANT TO SECTIONS 15(b)(6) AND 21B OF THE
 SECURITIES EXCHANGE ACT OF 1934 AND CEASE AND DESIST
 PROCEEDINGS PURSUANT TO SECTION 9(f) OF THE INVESTMENT
 COMPANY
 ACT OF 1940 (INVESTMENT COMPANY ACT) AGAINST WILLIAM J.
 GOEBELBECKER (GOEBELBECKER), A REGISTERED REPRESENTATIVE.
 THE
 COMMISSION'S ORDER, TO WHICH THE RESPONDENT CONSENTED
 WITHOUT
 ADMITTING OR DENYING THE MATTERS SET FORTH THEREIN, FINDS THAT
 GOEBELBECKER WILLFULLY AIDED AND ABETTED AND CAUSED A
 VIOLATION
 OF SECTION 17(e)(1) BY A BOND ANALYST/ASSISTANT PORTFOLIO
 MANAGER (BOND ANALYST) EMPLOYED BY AN INVESTMENT ADVISER
 REGISTERED WITH THE COMMISSION BY IMPROPERLY PROVIDING THE
 BOND
 ANALYST WITH COMPENSATION UNDER CIRCUMSTANCES WERE
 GOEBELBECKER
 KNEW OR SHOULD HAVE KNOWN THAT PROVIDING THE BOND ANALYST
 WITH
 SUCH COMPENSATION WAS IMPROPER. THE COMMISSION'S ORDER
 CENSURES
 GOEBELBECKER, ORDERS HIM TO CEASE AND DESIST FROM FUTURE
 VIOLATIONS OF THE ABOVE STATUTE AND IMPOSES A CIVIL PENALTY OF
 \$15,000. (REL. 34-32345; IC-19486)

Reporting Source:

Broker

**Regulatory Action Initiated
By:**

SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Censure

Other Sanction(s) Sought:**Date Initiated:**

05/21/1993

Docket/Case Number:

ADMINISTRATIVE PROCEEDING FILE NO.3-8054



Employing firm when activity occurred which led to the regulatory action:	PRINTON KANE
Product Type:	Other
Other Product Type(s):	HIGH YIELD SECURITIES
Allegations:	APPLICANT AND THE REGULATOR SETTLED BY AGREEING TO ENTRY OF FINDINGS, WITHOUT ANY ADMISSION MADE, THAT APPLICANT PURCHASES \$7,321 OF COMPUTER EQUIPMENT FOR AN INDIVIDUAL WHO WAS A BOND ANALYST/ASSISTANT PORTFOLIO MANAGER EMPLOYED BY A REGISTERED INVESTMENT ADVISOR, THAT APPLICANT THEREAFTER REFUSED THE BOND ANALYST'S FURTHER REQUESTS FOR ADDITIONAL COMPENSATION.
Current Status:	Final
Resolution:	Other
Resolution Date:	05/21/1993
Sanctions Ordered:	Cease and Desist/Injunction Censure Monetary/Fine \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	APPLICANT AND THE REGULATOR SETTLED BY AGREEING TO ENTRY OF FINDINGS, WITHOUT ANY ADMISSIONS MADE, THAT APPLICANT PURCHASED \$7,231 OF COMPUTER EQUIPMENT FOR AN INDIVIDUAL WHO WAS A BOND ANALYST/ASSISTANT PORTFOLIO MANAGER EMPLOYED BY A REGISTERED INVESTMENT ADVISOR, THAT APPLICANT AND THE BOND ANALYST HAD ENGAGED IN CERTAIN TRADES TWO MONTHS EARLIER, AND THAT APPLICANT THEREAFTER REFUSED THE BOND ANALYST'S FURTHER REQUESTS FOR ADDITIONAL COMPENSATION. APPLICANT CONSENTED TO AN ORDER ON THE ABOVE FACTS WHICH STATED THAT APPLICANT WILLFULLY AIDED AND ABETTED AND CAUSED THE BOND ANALYST'S VIOLATION OF SECTION 17(E)(1) OF THE INVESTMENT COMPANY ACT, AND DIRECTED THAT HE BE CENSURED, PERMANENTLY CEASE AND DESIST FROM FUTURE VIOLATIONS OF 17(E)(1) AND PAY A \$15,000 CIVIL FINE.
Broker Statement	APPLICANT AND THE REGULATOR SETTLED BY AGREEING TO ENTRY OF FINDINGS, WITHOUT ANY ADMISSION MADE, THAT APPLICANT PURCHASED \$7,321 OF COMPUTER EQUIPMENT FOR AN INDIVIDUAL WHO WAS A BOND ANALYST/ASSISTANT PORTFOLIO MANAGER EMPLOYED BY A REGISTERED



INVESTMENT ADVISOR, THAT APPLICANT AND THE BOND ANALYST HAD ENGAGED IN CERTAIN TRADES TWO MONTHS EARLIER, AND THE APPLICANT THEREAFTER REFUSED THE BOND ANALYST'S FURTHER REQUESTS FOR ADDITIONAL COMPENSATION. APPLICANT CONSENTED TO AN ORDER OF THE ABOVE FACTS WHICH SHOWED THAT APPLICANT WILLFULLY GUIDED AND ABETTED AND CAUSED THE BOND ANALYST VIOLATION OF SECTION 17(E)(1) OF THE INVESTMENT CO. ACT, AND DIRECTED THAT HE BE CENSURED, PERMANENTLY CEASE AND DESIST FROM FUTURE VIOLATIONS OF 17(E)(1) AND PAY A \$15,000 CIVIL FINE. APPLICANT NEVER MADE TRADES NOR RECEIVED COMMISSIONS BECAUSE OF UNLAWFUL OR IMPROPER CONDUCT. RECOGNIZING VERY PROMPTLY HIS ERROR, APPLICANT SOUGHT TO GET EQUIPMENT BACK AND REFUSED FURTHER REQUESTS BY BOND ANALYST.

End of Report



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