

BrokerCheck Report

CASEY SAMUEL LOCKARD

CRD# 2090983

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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.

CASEY S. LOCKARD

CRD# 2090983

This broker is not currently registered.

**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 not currently registered.****This broker has passed:**

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B NORTHERN TRUST SECURITIES, INC.
CRD# 7927

SCOTTSDALE, AZ
02/2011 - 04/2014

B CHARLES SCHWAB & CO., INC.
CRD# 5393

SCOTTSDALE, AZ
10/2005 - 01/2011

B AQUARIUS FUND DISTRIBUTORS, LLC
CRD# 126159

ELKHORN, NE
09/2004 - 10/2005

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Criminal	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

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

This broker is not currently registered.

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	12/28/2000
B General Securities Sales Supervisor - Options Module Examination	Series 9	12/07/2000

General Industry/Product Exams

Exam	Category	Date
B National Commodity Futures Examination	Series 3	10/22/1990
B General Securities Representative Examination	Series 7	09/18/1990

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/03/1994
B Uniform Securities Agent State Law Examination	Series 63	09/25/1990

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2011 - 04/2014	NORTHERN TRUST SECURITIES, INC.	7927	SCOTTSDALE, AZ
B 10/2005 - 01/2011	CHARLES SCHWAB & CO., INC.	5393	SCOTTSDALE, AZ
B 09/2004 - 10/2005	AQUARIUS FUND DISTRIBUTORS, LLC	126159	ELKHORN, NE
B 11/2002 - 09/2004	ORBITEX FUNDS DISTRIBUTOR, INC.	41453	STAMFORD, CT
B 06/2002 - 11/2002	FUNDS DISTRIBUTOR, INC.	7174	PORTLAND, ME
B 11/1999 - 04/2001	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX
B 07/1998 - 02/1999	FBR INVESTMENT SERVICES, INC.	43442	ARLINGTON, VA
B 06/1998 - 07/1998	FRIEDMAN, BILLINGS, RAMSEY & CO., INC.	25027	LOS ANGELES, CA
B 09/1997 - 11/1997	PILGRIM AMERICA SECURITIES, INC.	37886	WINDSOR, CT
B 07/1991 - 06/1997	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 10/1990 - 06/1991	LEHMAN BROTHERS INC.	7506	NEW YORK, NY

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
02/2011 - Present	NORTHERN TRUST SECURITIES	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
01/2011 - Present	NORTHERN TRUST BANK	INVESTMENT CONSULTANT	Y	SCOTTSDALE, AZ, United States

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Criminal	1	0



Disclosure Event Details

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.

Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	THIS WAS NOT AN INVESTMENT RELATED CHARGE.
Court Details:	THIS EVENT OCCURED IN HARRISONBURG, VIRGINIA. CHARGES WERE BROUGHT IN ROCKINGHAM DISTRICT COURT. ORIGINAL COURT DOCUMENTS WERE PROVIDED ON MY FIRST U-4 FORM APPLICATION WHEN EMPLOYED BY SHEARSON, LEHMAN BROTHERS IN 1990.
Charge Date:	03/27/1987
Charge Details:	I WAS ORIGINALLY WITH A CLASS 6 FELONY, UNAUTHORIZED USE OF A VEHICLE AND A CLASS 1 MISDEMEANOR, CONSUMPTION OF A PIZZA VALUED AT LESS THAN \$200. THE PLEA AGREEMENT WITH THE COURT WAS THAT THE FELONY WAS REDUCED TO A MISDEMEANOR, PLEADED NOLO CONTENDRE. THE MISDEMEANOR CHARGE WAS DROPPED BECAUSE I WAS A FIRST TIME OFFENDER AND A COLLEGE STUDENT IN GOOD ACADEMIC STANDING. UPON COMPLETION OF 40 HOURS COMMUNITY SERVICE WITHIN A 3 MONTH PROBATION PERIOD, THE MISDEMEANOR CHARGE WOULD BE DROPPED.
Felony?	Yes
Current Status:	Final
Status Date:	08/01/1987
Disposition Details:	IT IS MY UNDERSTANDING THAT THE MISDEMEANOR CHARGE UPON MY SUCCESSFUL COMPLETION OF COMMUNITY SERVICE AND THE PROBATION PERIOD. PROBATION WAS MAY THROUGH AUGUST OF 1987. NO FINES OR PENALTIES WERE LEVIED.
Broker Statement	THIS WAS A BAD COLLEGE PRANK WHERE WE MOVED MELANIE WHITES PIZZA DELIVERY CAROM FROM ONE SIDE OF THE CAMPUS TO THE OTHER. WE DID TURN OURSELVES IN TO CAMPUS POLICE WHEN WE DISCOVERED



THAT SHE DIDN'T FIND HER CAR THE NEXT MORNING. THIS OCCURRED LATE MARCH 1987. BECAUSE I WAS A FIRST TIME OFFENDER, FELONY REDUCED TO MISDEMEANOR; THE MISDEMEAMOR WAS DROPPED AND THE PLEAD OF NOLO CONTENDRE WAS DROPPED UPON SUCCESSFUL COMPLETION OF COMMUNITY SERVICE AND PROBATION.

End of Report



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