

## BrokerCheck Report

# ANDREW SCOTT KLICK

CRD# 2186884

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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).

**ANDREW S. KLICK**

CRD# 2186884

**Currently employed by and registered with the following Firm(s):****B BUTLER CAPITAL PARTNERS**OYSTER BAY, NY  
CRD# 114242

Registered with this firm since: 11/08/2021

**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
- 2 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****B GRAFINE CAPITAL PARTNERS LLC**CRD# 302046  
NEW YORK, NY  
09/2021 - 08/2024**B IDB CAPITAL CORP.**CRD# 106032  
NEW YORK, NY  
05/2020 - 12/2021**B BHA SELECT NETWORK, LLC**CRD# 168883  
BOSTON, MA  
06/2020 - 06/2020**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? **No**

## 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 2 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **BUTLER CAPITAL PARTNERS**

Main Office Address: **326 CENTRE ISLAND ROAD  
OYSTER BAY, NY 11771**

Firm CRD#: **114242**

SRO	Category	Status	Date
 FINRA	Compliance Officer	Approved	11/08/2021
 FINRA	General Securities Principal	Approved	11/08/2021
 FINRA	General Securities Representative	Approved	11/08/2021
 FINRA	Municipal Securities Principal	Approved	11/08/2021
 FINRA	Municipal Securities Representative	Approved	11/08/2021
 FINRA	Operations Professional	Approved	11/08/2021

U.S. State/ Territory	Category	Status	Date
 New Jersey	Agent	Approved	11/08/2021
 New York	Agent	Approved	11/08/2021

### Branch Office Locations

**BUTLER CAPITAL PARTNERS**  
326 CENTRE ISLAND ROAD  
OYSTER BAY, NY 11771

**BUTLER CAPITAL PARTNERS**  
OYSTER BAY, NY



## 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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Compliance Officer Examination	Series 14	01/02/2023
Municipal Securities Principal Examination	Series 53	06/27/2014
General Securities Principal Examination	Series 24	09/10/2010

#### General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination	Series 52TO	01/02/2023
Operations Professional Examination	Series 99TO	01/02/2023
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	07/17/2007

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/25/2016
Uniform Combined State Law Examination	Series 66	11/15/2000

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 09/2021 - 08/2024	GRAFINE CAPITAL PARTNERS LLC	302046	NEW YORK, NY
B 05/2020 - 12/2021	IDB CAPITAL CORP.	106032	NEW YORK, NY
B 06/2020 - 06/2020	BHA SELECT NETWORK, LLC	168883	BOSTON, MA
B 01/2019 - 09/2019	CFI SECURITIES	284750	NEW YORK, NY
B 12/2016 - 02/2019	SHOREBRIDGE CAPITAL ADVISORS, LLC	269991	NEW YORK, NY
B 12/2016 - 02/2019	BUTLER CAPITAL PARTNERS	114242	NEW YORK, NY
B 06/2018 - 08/2018	LWPARTNERS CAPITAL GROUP LLC	167438	NEW YORK, NY
B 11/2016 - 02/2018	QUANTEDGE CAPITAL USA INC.	281626	NEW YORK, NY
B 02/2017 - 05/2017	STANDARD INVESTMENT CHARTERED INCORPORATED	23505	NEWPORT BEACH, CA
B 05/2011 - 07/2016	IDB CAPITAL CORP.	106032	NEW YORK, NY
B 11/2010 - 05/2011	SDDCO BROKERAGE ADVISORS LLC	153563	NEW YORK, NY
B 07/2007 - 06/2008	TEACHERS PERSONAL INVESTORS SERVICES, INC.	36130	NEW YORK, NY
B 07/2007 - 06/2008	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	NEW YORK, NY
B 11/2000 - 11/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 11/2000 - 11/2001	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 06/1995 - 04/1996	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 06/1995 - 04/1996	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 11/1993 - 05/1995	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
B 06/1993 - 11/1993	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL



## Registration and Employment History

### Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/1993 - 11/1993	ROBERT TODD FINANCIAL CORP.	7423	NEW YORK, NY
B 07/1992 - 02/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 12/1991 - 05/1992	HIBBARD BROWN & CO., INC.	18246	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
06/2025 - Present	Butler Capital Partners	Chief Compliance Officer	Y	Oyster Bay, NY, United States
01/2019 - Present	Benchmark Compliance	Principal Consultant	N	Fort Lee, NJ, United States
11/2021 - 06/2025	Butler Capital Partners	Chief Compliance Officer	Y	Old Westbury, NY, United States
09/2021 - 08/2024	Grafine Capital Partners LLC	Chief Compliance Officer	Y	New York, NY, United States
08/2022 - 10/2022	Bruderman Private Wealth	Chief Compliance Officer	Y	Locust Valley, NY, United States
11/2021 - 10/2022	Gary Goldberg Planning Services, LLC	Chief Compliance Officer	Y	Locust Valley, NY, United States
05/2020 - 12/2021	IDB Capital Corp.	Marketing Review Principal	Y	New York, NY, United States
06/2020 - 06/2020	BHA Select Network, LLC	Chief Compliance Officer	Y	Boston, MA, United States
01/2019 - 09/2019	CFI Securities	Chief Compliance Officer	Y	Los Angeles, CA, United States
12/2016 - 02/2019	BUTLER CAPITAL PARTNERS	Chief Compliance Officer	Y	NEW YORK, NY, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2016 - 02/2019	SHOREBRIDGE CAPITAL ADVISORS, LLC	Chief Compliance Officer	Y	NEW YORK, NY, United States
10/2018 - 01/2019	HUATAI SECURITIES (USA), INC.	CHIEF COMPLIANCE OFFICER	Y	NEW YORK, NY, United States
12/2017 - 01/2019	SHOREBRIDGE CAPITAL MANAGEMENT, LLC	Chief Compliance Officer	Y	NEW YORK, NY, United States
07/2016 - 01/2019	SDDCO Regulatory Services LLC	Compliance Director	Y	New York, NY, United States
08/2018 - 08/2018	Figure Securities, Inc.	Chief Compliance Officer	Y	San Francisco, CA, United States
06/2018 - 08/2018	LWPARTNERS CAPITAL GROUP LLC	GENERAL SECURITIES PRINCIPAL	Y	NEW YORK, NY, United States
09/2017 - 02/2018	NEIGHBORLY INVESTMENTS	Chief Compliance Officer	Y	NEW YORK, NY, United States
11/2016 - 02/2018	QUANTEDGE CAPITAL USA INC.	Chief Compliance Officer	Y	NEW YORK, NY, United States
11/2016 - 11/2017	VSS FUND MANAGEMENT LLC	Chief Compliance Officer	Y	NEW YORK, NY, United States
04/2017 - 08/2017	IIFL Inc	Chief Compliance Officer	Y	New York, NY, United States
02/2017 - 04/2017	Standard Investment Chartered, Inc.	Compliance Officer	Y	Newport Beach, CA, United States
05/2011 - 07/2016	IDB CAPITAL CORP.	CHIEF COMPLIANCE OFFICER	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.

Managing Member, Benchmark Compliance LLC.

Start Date: January 15, 2019

Nature of Organization: Provides compliance services to broker-dealers and investment advisers. Compliance Services are provided in a registered and unregistered capacity. Registered roles include acting as an outsourced Chief Compliance Officer for investment advisers, Chief Compliance Officer or registered principal for broker-dealers. Registered roles are listed in section 12. - Employment history.

## Registration and Employment History



### Other Business Activities, continued

All compliance services are provided through Benchmark Compliance and account for 40+ hours a week during trading hours.

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## End of Report



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