

## BrokerCheck Report

**GEORGE RICHARD BUCK**

CRD# 2372799

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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).

**GEORGE R. BUCK**

CRD# 2372799

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

**IA LPL FINANCIAL LLC**  
 263 TRESSER BLVD. FIRST FLOOR  
 STAMFORD, CT 06901  
 CRD# 6413  
 Registered with this firm since: 07/25/2018

**B LPL FINANCIAL LLC**  
 263 TRESSER BLVD. FIRST FLOOR  
 STAMFORD, CT 06901  
 CRD# 6413  
 Registered with this firm since: 07/10/2018

**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
- 7 U.S. states and territories

**This broker has passed:**

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

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

- B LPS PARTNERS INC.**  
 CRD# 155246  
 NEW YORK, NY  
 01/2014 - 01/2015
- B ICAP CORPORATES LLC**  
 CRD# 2762  
 JERSEY CITY, NJ  
 06/2012 - 10/2013
- B GARGOYLE STRATEGIC INVESTMENTS L.L.C.**  
 CRD# 43238  
 ENGLEWOOD, NJ  
 12/2011 - 04/2012

**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 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	07/10/2018

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	California	Agent	Approved	07/12/2019
<b>B</b>	Colorado	Agent	Approved	05/31/2019
<b>B</b>	Connecticut	Agent	Approved	07/11/2018
<b>IA</b>	Connecticut	Investment Adviser Representative	Approved	07/25/2018
<b>B</b>	Nebraska	Agent	Approved	05/13/2019
<b>B</b>	New York	Agent	Approved	02/12/2019
<b>B</b>	Pennsylvania	Agent	Approved	04/26/2019
<b>IA</b>	Pennsylvania	Investment Adviser Representative	Approved	06/24/2019
<b>B</b>	Texas	Agent	Approved	05/09/2019
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	05/09/2019

### Branch Office Locations

**LPL FINANCIAL LLC**

## Broker Qualifications



### Employment 1 of 1, continued

263 TRESSER BLVD. FIRST FLOOR  
STAMFORD, CT 06901

**LPL FINANCIAL LLC**  
NEW CANAAN, CT

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Options Principal Examination	Series 4	07/01/2014

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/10/2018
<b>B</b> National Commodity Futures Examination	Series 3	06/21/2011

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	07/24/2018
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/09/2012

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> 01/2014 - 01/2015	LPS PARTNERS INC.	155246	NEW YORK, NY
<b>B</b> 06/2012 - 10/2013	ICAP CORPORATES LLC	2762	JERSEY CITY, NJ
<b>B</b> 12/2011 - 04/2012	GARGOYLE STRATEGIC INVESTMENTS L.L.C.	43238	ENGLEWOOD, NJ
<b>B</b> 12/2003 - 06/2004	G & D TRADING COMPANY, LLC	41207	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
06/2018 - Present	LPL Financial LLC	Registered Representative	Y	Stamford, CT, United States
12/2016 - 06/2018	HB Capital Partners	Partner	Y	New Canaan, CT, United States
03/2015 - 11/2016	unemployed	unemployed	N	New Canaan, CT, 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.

1) 6/25/18- American Strategic Advisors- DBA for LPL Business (entity for LPL business)- Inv.Related- Stamford, CT- 100%

2). 03/25/2019 - No business name - Investment related - At reported business location(s) - Consulting - start date:01/02/2019 - 1 hr/mo - 1 hr during trading.

3) 5/7/2019 - Tri County Area Federal Credit Union - DBA: Tri County Area Investment & Retirement Services - Investment Related - At Reported



## Registration and Employment History



### Other Business Activities, continued

Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 06/01/2019 - 5 Hours Per Month/5 Hours During Securities Trading.

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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
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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	AMERICAN STOCK EXCHANGE LLC
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	A CENSURE AND A \$20,000 FINE IMPOSED.
<b>Date Initiated:</b>	12/26/2000
<b>Docket/Case Number:</b>	00-35
<b>Employing firm when activity occurred which led to the regulatory action:</b>	G&D TRADING COMPANY, LLC
<b>Product Type:</b>	Options
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	BUCK VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION BY INITIATING AND ENTERING OPTIONS TRANSACTIONS FROM OFF THE FLOOR OF THE EXCHANGE IN A MARKET MAKER ACCOUNT (RATHER THAN A PERSONAL ACCOUNT), THEREBY CAUSING G&D TRADING TO IMPROPERLY RECEIVE PREFERENTIAL MARGIN TREATMENT FOR THE TRANSACTIONS; EXCHANGE RULE 341, AND THE COMMENTARY THERETO, IN THAT HE FAILED TO REGISTER AND QUALIFY WITH THE EXCHANGE, INCLUDING FAILING TO TAKE AND SUCCESSFULLY COMPLETE THE SERIES



7 EXAMINATION PRIOR TO TRADING OFF-FLOOR IN AN ACCOUNT OF G&D TRADING AND BUCK ALSO CAUSED G&D TRADING TO VIOLATE SECTION 224 OF REGULATION X OF THE FEDERAL RESERVE BOARD RULES AND REGULATIONS (APPLICABLE TO MEMBERS AND MEMBER FIRMS PURSUANT TO ARTICLE V, SECTION 4(I) OF THE EXCHANGE CONSTITUTION), IN THAT THE FIRM RECEIVED PREFERENTIAL MARGIN TREATMENT FOR OPTIONS TRANSACTIONS EFFECTED IN A MARKET MAKER ACCOUNT.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/13/2002
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$20,000.00
<b>Other Sanctions Ordered:</b>	SEE # 2 ABOVE.
<b>Sanction Details:</b>	SEE ABOVE FOR FINE DETAIL. FINE IS TO BE PAID IN FULL ON OR BEFORE SEPTEMBER 20, 2002 OR THE EXCHANGE WILL TAKE FURTHER ACTION AGAINST BUCK UNDER EXCHANGE RULE 345(L) TO SUSPEND HIM FROM ASSOCIATION IN ANY CAPACITY WITH A MEMBER OR MEMBER ORGANIZATION UNTIL SUCH FINE IS PAID.
<b>Regulator Statement</b>	PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAIL.

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	AMERICAN STOCK EXCHANGE LLC
<b>Sanction(s) Sought:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s) Other: A CENSURE AND A \$20,000.00 FINE IMPOSED
<b>Date Initiated:</b>	12/26/2000
<b>Docket/Case Number:</b>	00-35



<b>Employing firm when activity occurred which led to the regulatory action:</b>	G&D TRADING COMPANY, LLC
<b>Product Type:</b>	Options
<b>Allegations:</b>	BUCK VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION BY INITIATING AND ENTERING OPTIONS TRANSACTIONS FROM OFF THE FLOOR OF THE EXCHANGE IN A MARKET MAKER ACCOUNT (RATHER THAN A PERSONAL ACCOUNT), THEREBY CAUSING G&D TRADING TO IMPROPERLY RECEIVE PREFERENTIAL MARGIN TREATMENT FOR THE TRANSACTIONS; EXCHANGE RULE 341, AND THE COMMENTARY THERETO, IN THAT HE FAILED TO REGISTER AND QUALIFY WITH THE EXCHANGE, INCLUDING FAILING TO TAKE AND SUCCESSFULLY COMPLETE THE SERIES 7 EXAMINATION PRIOR TO TRADING OFF-FLOOR IN AN ACCOUNT OF G&D TRADING AND BUCK ALSO CAUSED G&D TRADING TO VIOLATE SECTION 224 OF REGULATION X OF THE FEDERAL RESERVE BOARD RULES AND REGULATIONS (APPLICABLE TO MEMBERS AND MEMBER FIRMS PURSUANT TO ARTICLE V, SECTION 4(I) OF THE EXCHANGE CONSTITUTION), IN THAT THE FIRM RECEIVED PREFERENTIAL MARGIN TREATMENT FOR OPTIONS TRANSACTIONS EFFECTED IN A MARKET MAKER ACCOUNT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/13/2002
<b>Sanctions Ordered:</b>	Censure Other: SEE #2 ABOVE
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$20,000.00
<b>Portion Levied against individual:</b>	\$0.00



**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement** PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAIL.

## End of Report



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