

BrokerCheck Report

RICHARD HUGH ONKEY

CRD# 2845580

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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.

**RICHARD H. ONKEY**

CRD# 2845580

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

- B GUGGENHEIM SECURITIES, LLC**
 330 MADISON AVENUE
 NEW YORK, NY 10017
 CRD# 40638
 Registered with this firm since: 09/06/2017

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
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

- B LLOYDS SECURITIES**
 CRD# 154515
 NEW YORK, NY
 07/2014 - 09/2017
- B PNC CAPITAL MARKETS LLC**
 CRD# 15647
 CHICAGO, IL
 02/2012 - 05/2014
- B MF GLOBAL INC.**
 CRD# 6731
 NEW YORK, NY
 03/2011 - 12/2011

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 2 SROs and is licensed in 52 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **GUGGENHEIM SECURITIES, LLC**

Main Office Address: **330 MADISON AVENUE
NEW YORK, NY 10017**

Firm CRD#: **40638**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/06/2017
B	FINRA	Investment Banking Representative	Approved	09/06/2017
B	FINRA	General Securities Principal	Approved	08/28/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	09/06/2017
B	Nasdaq Stock Market	General Securities Principal	Approved	08/28/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/01/2022
B	Alaska	Agent	Approved	03/03/2025
B	Arizona	Agent	Approved	12/01/2022
B	Arkansas	Agent	Approved	12/01/2022
B	California	Agent	Approved	12/01/2022
B	Colorado	Agent	Approved	12/01/2022
B	Connecticut	Agent	Approved	12/01/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	12/01/2022
B	District of Columbia	Agent	Approved	12/01/2022
B	Florida	Agent	Approved	12/01/2022
B	Georgia	Agent	Approved	12/01/2022
B	Hawaii	Agent	Approved	03/03/2025
B	Idaho	Agent	Approved	12/01/2022
B	Illinois	Agent	Approved	12/01/2022
B	Indiana	Agent	Approved	12/01/2022
B	Iowa	Agent	Approved	12/01/2022
B	Kansas	Agent	Approved	12/01/2022
B	Kentucky	Agent	Approved	12/01/2022
B	Louisiana	Agent	Approved	12/01/2022
B	Maine	Agent	Approved	03/03/2025
B	Maryland	Agent	Approved	12/01/2022
B	Massachusetts	Agent	Approved	12/01/2022
B	Michigan	Agent	Approved	12/01/2022
B	Minnesota	Agent	Approved	12/01/2022
B	Mississippi	Agent	Approved	12/01/2022
B	Missouri	Agent	Approved	12/01/2022
B	Montana	Agent	Approved	12/01/2022
B	Nebraska	Agent	Approved	12/01/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	12/01/2022
B	New Hampshire	Agent	Approved	12/01/2022
B	New Jersey	Agent	Approved	12/01/2022
B	New Mexico	Agent	Approved	12/01/2022
B	New York	Agent	Approved	09/06/2017
B	North Carolina	Agent	Approved	12/01/2022
B	North Dakota	Agent	Approved	12/01/2022
B	Ohio	Agent	Approved	12/02/2022
B	Oklahoma	Agent	Approved	12/01/2022
B	Oregon	Agent	Approved	12/01/2022
B	Pennsylvania	Agent	Approved	12/01/2022
B	Puerto Rico	Agent	Approved	03/03/2025
B	Rhode Island	Agent	Approved	12/01/2022
B	South Carolina	Agent	Approved	12/01/2022
B	South Dakota	Agent	Approved	12/01/2022
B	Tennessee	Agent	Approved	12/01/2022
B	Texas	Agent	Approved	12/01/2022
B	Utah	Agent	Approved	12/01/2022
B	Vermont	Agent	Approved	12/01/2022
B	Virginia	Agent	Approved	12/01/2022
B	Washington	Agent	Approved	12/01/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	West Virginia	Agent	Approved	03/03/2025
B	Wisconsin	Agent	Approved	12/01/2022
B	Wyoming	Agent	Approved	03/03/2025

Branch Office Locations

GUGGENHEIM SECURITIES, LLC
330 MADISON AVENUE
NEW YORK, NY 10017



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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	08/28/2018

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	09/28/2001
B General Securities Representative Examination	Series 7	03/18/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/12/1997

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 07/2014 - 09/2017	LLOYDS SECURITIES	154515	NEW YORK, NY
B 02/2012 - 05/2014	PNC CAPITAL MARKETS LLC	15647	CHICAGO, IL
B 03/2011 - 12/2011	MF GLOBAL INC.	6731	NEW YORK, NY
B 09/2009 - 01/2010	SUNRISE SECURITIES CORP.	29804	NEW YORK, NY
B 01/2006 - 07/2009	UBS SECURITIES LLC	7654	NEW YORK, NY
B 08/2001 - 01/2006	MORGAN STANLEY & CO., INCORPORATED	8209	NEW YORK, NY
B 06/2000 - 08/2000	MORGAN STANLEY & CO., INCORPORATED	8209	NEW YORK, NY
B 02/1998 - 07/1998	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC
B 07/1997 - 02/1998	FIRST UNION CAPITAL MARKETS CORP.	19002	CHARLOTTE, NC

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
09/2017 - Present	Guggenheim Securities, LLC	MANAGING DIRECTOR	Y	New York, NY, United States
06/2014 - 08/2017	LLOYDS BANK	SENIOR VICE PRESIDENT, RELATIONSHIP MANAGER	Y	NEW YORK, NY, United States

Registration and Employment History



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.

No information reported.

End of Report



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