

BrokerCheck Report

Jeffrey David Buck

CRD# 4884887

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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.



Jeffrey D. Buck

CRD# 4884887

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

IA BUCK WEALTH STRATEGIES, LLC
 55 Merchant Street
 Suite 2100
 Honolulu, HI 96813
 CRD# 322138
 Registered with this firm since: 08/29/2022

B MADISON AVENUE SECURITIES, LLC
 55 Merchant Street
 Suite 2100
 Honolulu, HI 96813
 CRD# 23224
 Registered with this firm since: 12/03/2019

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
- 36 U.S. states and territories

This broker has passed:

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

Registration History

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

IA AE WEALTH MANAGEMENT, LLC
 CRD# 282580
 TOPEKA, KS
 12/2019 - 01/2023

B PARKLAND SECURITIES, LLC
 CRD# 115368
 HONOLULU, HI
 08/2011 - 12/2019

IA SPC
 CRD# 110692
 ANN ARBOR, MI
 08/2011 - 12/2019

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
Customer Dispute	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 36 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **BUCK WEALTH STRATEGIES, LLC**
 Main Office Address: **4600 S. SYRACUSE STREET
 SUITE 650
 DENVER, CO 80237**
 Firm CRD#: **322138**

	U.S. State/ Territory	Category	Status	Date
IA	Hawaii	Investment Adviser Representative	Approved	08/29/2022

Branch Office Locations

4600 S. SYRACUSE STREET
 SUITE 650
 DENVER, CO 80237

55 Merchant Street
 Suite 2100
 Honolulu, HI 96813

Employment 2 of 2

Firm Name: **MADISON AVENUE SECURITIES, LLC**
 Main Office Address: **13500 EVENING CREEK DR N
 #555
 SAN DIEGO, CA 92128**
 Firm CRD#: **23224**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	12/03/2019



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	12/03/2019
U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	07/16/2025
B Arizona	Agent	Approved	01/13/2020
B California	Agent	Approved	12/04/2019
B Colorado	Agent	Approved	02/21/2020
B Florida	Agent	Approved	12/04/2019
B Georgia	Agent	Approved	07/17/2025
B Hawaii	Agent	Approved	01/06/2020
B Idaho	Agent	Approved	04/12/2024
B Illinois	Agent	Approved	07/15/2025
B Iowa	Agent	Approved	06/19/2025
B Kansas	Agent	Approved	07/09/2025
B Kentucky	Agent	Approved	07/17/2025
B Louisiana	Agent	Approved	07/16/2025
B Massachusetts	Agent	Approved	07/17/2025
B Michigan	Agent	Approved	07/18/2025
B Minnesota	Agent	Approved	07/16/2025
B Mississippi	Agent	Approved	07/17/2025
B Missouri	Agent	Approved	07/11/2024
B Montana	Agent	Approved	12/03/2019



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	07/16/2025
B	New Hampshire	Agent	Approved	07/17/2025
B	New Jersey	Agent	Approved	07/16/2025
B	New York	Agent	Approved	03/02/2020
B	North Carolina	Agent	Approved	07/16/2025
B	North Dakota	Agent	Approved	07/24/2025
B	Ohio	Agent	Approved	04/11/2024
B	Oklahoma	Agent	Approved	07/16/2025
B	Oregon	Agent	Approved	07/23/2025
B	South Carolina	Agent	Approved	07/17/2025
B	South Dakota	Agent	Approved	07/16/2025
B	Tennessee	Agent	Approved	06/10/2025
B	Texas	Agent	Approved	01/09/2020
B	Utah	Agent	Approved	05/07/2024
B	Virginia	Agent	Approved	01/10/2020
B	Washington	Agent	Approved	02/20/2020
B	Wyoming	Agent	Approved	04/22/2024

Branch Office Locations

MADISON AVENUE SECURITIES, LLC

55 Merchant Street
Suite 2100
Honolulu, HI 96813

Broker Qualifications



Employment 2 of 2, continued

MADISON AVENUE SECURITIES, LLC

2975 Broadmoor Valley Road
Colorado Springs, CO 80906



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/11/2005

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/15/2004

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/02/2006
B Uniform Securities Agent State Law Examination	Series 63	01/14/2005

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
IA 12/2019 - 01/2023	AE WEALTH MANAGEMENT, LLC	282580	HONOLULU, HI
IA 08/2022 - 08/2022	BUCK WEALTH STRATEGIES, LLC	322138	DENVER, CO
B 08/2011 - 12/2019	PARKLAND SECURITIES, LLC	115368	HONOLULU, HI
IA 08/2011 - 12/2019	SPC	110692	HONOLULU, HI
IA 01/2007 - 08/2011	H. BECK, INC.	1763	HONOLULU, HI
B 01/2005 - 08/2011	H. BECK, INC.	1763	HONOLULU, HI

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
08/2022 - Present	BUCK WEALTH STRATEGIES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	DENVER, CO, United States
12/2019 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
12/2019 - Present	MADISON AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
09/2004 - Present	E.A. Buck Insurance DBA E.A. Buck Financial Services	Chief Investment Officer	Y	HONOLULU, HI, United States
08/2014 - 12/2019	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
08/2011 - 12/2019	SPC	INVESTMENT ADVISORY REP	Y	ANN ARBOR, MI, 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.

1.) NAME: E.A. Buck Insurance DBA E.A. Buck Financial Services; INV RELATED: YES; ADDRESS: 55 MERCHANT STREET, SUITE 2100 HONOLULU, HI 96813; NATURE: INSURANCE SALES; POSITION: INSURANCE AGENCY-INSURANCE AGENT; START DATE: 2004; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: INSURANCE AGENT

2.) MADISON AVENUE SECURITIES, LLC; YES INVESTMENT RELATED; 13500 EVENING CREEK DR. N. SUITE 555, SAN DIEGO, CA 92128; BROKER DEALER; REGISTERED REPRESENTATIVE; START DATE 12/2019; APPROX 160 HRS/MONTH; APPROX 160 HRS/MONTH DURING TRADING; SECURITIES SALES AND SERVICES.

3.) NAME: HCEE; INV RELATED: NO; ADDRESS: 126 QUEEN ST #226 HONOLULU, HI 96813; NATURE: NON PROFIT; POSITION: BOARD MEMBER; START DATE: 2009; 2 HOURS/MONTH: 2; TRADING HOURS/MONTH: NO; DUTIES: BOARD MEMBER

4.) NAME: AEWM; INV RELATED: YES; ADDRESS: 2950 SOUTHWEST MCCLURE RD TOPEKA, KS 66614; NATURE: INVESTMENT ADVICE FOR A FEE; POSITION: IAR; START DATE: 12/2019; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: INVESTMENT ADVISOR REPRESENTATIVE

5.) NAME: SEVEN PEAKS LLC; INV RELATED: NO; NATURE: LLC SET UP FOR RENTAL PROPERTY INCOME; POSITION: RENTAL PROPERTY START DATE: 2015 and 2003, CHANGED NAME TO SEVEN PEAKS LLC JANUARY 2021; HOURS/MONTH: 4; TRADING HOURS/MONTH: NO; DUTIES: PERSONAL RENTAL PROPERTY.

6.) NAME: EA BUCK ACCOUNTING AND TAX SERVICES LLC; INV RELATED: NO; NATURE: TAX SERVICES; POSITION OWNER: START DATE: JANUARY 2021; HOURS/MONTH: 4

7.) Buck Enterprises LLC; Yes Investment Related; 55 Merchant St Suite 2100, Honolulu HI, 96813; Director; State Date 11/21/2020; 0 Hours a Month; 0 Hours during trading; holding company for consolidated tax returns.

8.) LTC Pro LLC DBA Federal Benefits Made Simple; Yes Investment Related; 1 Denver Federal Center, Building 45 Entrance E-9, Room 1050, Lakewood CO 80225; Director; Start Date 04/01/2021; 5 Hours a Month; 0 Hours during trading; Investment and Insurance Advisory Business

9.) NAME: THE KATIE CHRISTINE BUCK 2020 IRREVOCABLE TRUST ; INV RELATED: NO; NATURE: TRUSTEE; START DATE: 2020

10.) Buck Wealth Strategies: Yes Investment Related; 55 Merchant St Suite 2100, Honolulu HI, 96813; Director and IAR; State Date 7/12/2022; 40 Hours a Month; 40 Hours during trading; Registered Investment Adviser engages in asset management services.

11.) Buck Financial Services Outer Banks: Yes Investment Related; 55 Merchant St Suite 2100, Honolulu HI, 96813; Duties Director; State Date 5/2022; <1 Hours a Month; 40 Hours during trading; Nature: Asset management related to a specific book of business.

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
Customer Dispute	0	1	N/A



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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	H. BECK, INC.
Allegations:	Claimant alleges unsuitability, breach of fiduciary duty and negligence related to Centerpointe tenant in common interests offered by ColeCapitalPartners, LLC. Activity occurred July 31, 2007 to November 19, 2019.
Product Type:	Real Estate Security
Alleged Damages:	\$882,557.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-01926
Filing date of arbitration/CFTC reparation or civil litigation:	07/31/2023

Customer Complaint Information

Date Complaint Received: 08/08/2023



Complaint Pending? No

Status: Settled

Status Date: 11/21/2024

Settlement Amount: \$185,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: The Statement of Claim is filed on behalf of ten claimants against four broker-dealers, including Grove Point Investments, LLC, involving the same investment - Centerpointe tenant in common interests offered by Cole Capital Partners, LLC. Claimants allege financial elder abuse, unsuitability, breach of fiduciary duty, and negligence. Grove Point is contesting the claims in full. Activity occurred May 14, 2007 to November 19, 2019.

Product Type: Real Estate Security

Alleged Damages: \$882,557.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-01926

Filing date of arbitration/CFTC reparation or civil litigation: 07/31/2023

Customer Complaint Information

Date Complaint Received: 08/08/2023

Complaint Pending? No



Status: Settled

Status Date: 11/21/2024

Settlement Amount: \$185,000.00

Individual Contribution Amount: \$0.00

Broker Statement

I am not included in the arbitration or claims individually and did not participate in the settlement decision nor was I included in any individual settlement amount. The client (estate owner) made the investment understanding of the risks involved and at no time prior to his passing did he ever make any statements to me regarding any concerns involving the performance of the investment or recommendations involving the investment. I stand behind the recommendations made in 2007 during which time the transaction took place and I believe the claims to be baseless.

End of Report



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