BrokerCheck Report

DONOVAN CONRAD GRAY

CRD# 4961973

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.
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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.

DONOVAN C. GRAY

CRD# 4961973

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

B **CASEY SECURITIES LLC**
100 DRAKES LANDING ROAD
Building 100A - 2nd Floor
Greenbrae, CA 94904
CRD# 35230
Registered with this firm since: 01/17/2024

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
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

B **CASEY SECURITIES LLC**
CRD# 35230
GREENBRAE, CA
05/2005 - 01/2024

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 2 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **CASEY SECURITIES LLC**

Main Office Address: **100 DRAKES LANDING ROAD**
BUILDING 100A - 2ND FLOOR SUITE 210
GREENBRAE, CA 94904

Firm CRD#: **35230**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	05/24/2024
B	BOX Exchange LLC	General Securities Representative	Approved	05/24/2024
B	BOX Exchange LLC	Registered Options Principal	Approved	05/24/2024
B	BOX Exchange LLC	Securities Trader	Approved	05/24/2024
B	BOX Exchange LLC	Securities Trader Principal	Approved	05/24/2024
B	FINRA	General Securities Principal	Approved	05/21/2024
B	FINRA	General Securities Representative	Approved	05/21/2024
B	FINRA	Registered Options Principal	Approved	05/21/2024
B	FINRA	Securities Trader	Approved	05/21/2024
B	FINRA	Securities Trader Principal	Approved	05/21/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/13/2024

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

CASEY SECURITIES LLC
100 DRAKES LANDING ROAD
BUILDING 100A - 2ND FLOOR SUITE 210
GREENBRAE, CA 94904

CASEY SECURITIES LLC
100 DRAKES LANDING ROAD
Building 100A - 2nd Floor
Greenbrae, CA 94904

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination	Series 4	12/10/2008
B	General Securities Principal Examination	Series 24	01/23/2008

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/23/2007
B	PCX Floor Broker Exam	Series 45	11/07/2005

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	05/01/2017

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	05/2005 - 01/2024	CASEY SECURITIES LLC	35230	GREENBRAE, CA

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
11/2018 - Present	CASEY SECURITIES, LLC	FLOOR SUPERVISOR	Y	SAN FRANCISCO, CA, United States
06/2015 - 11/2018	CASEY SECURITIES, LLC	CCO	Y	SAN FRANCISCO, CA, 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.

No information reported.

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 discloure 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

Reporting Source:	Regulator
Regulatory Action Initiated By:	PACIFIC STOCK EXCHANGE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	08/01/2004
Docket/Case Number:	OS0204194 ET AL.
Employing firm when activity occurred which led to the regulatory action:	CASEY SECURITIES, LLC
Product Type:	Options
Other Product Type(s):	
Allegations:	FLOOR BROKER FOR AN OPTIONS TRADING PERMIT FIRM FAILED TO USE DUE DILIGENCE IN EXECUTION OF AN ORDER, FAILED TO IMMEDIATELY AND CONTINUOUSLY REPRESENT AN ORDER, FAILED TO ENTER THE DETAILS OF A TRANSACTION INTO THE ELECTRONIC ORDER CAPTURE SYSTEM BEFORE EXECUTING AND VOCALIZING IT, FAILED TO PRICE REPORT WITHIN 90 SECONDS OF A TRANSACTION, AND ENGAGED IN IMPROPER TRADE-THROUGHS (PCX RULES 6.46(A), 6.67(C), 6.69(A), AND 6.94(A)(1)).

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/29/2005
Sanctions Ordered:	Monetary/Fine $2,000.00
Other Sanctions Ordered:	
Sanction Details:	$2,000.00 FINE PAID ON OCTOBER 10, 2005.

Reporting Source:	Broker
Regulatory Action Initiated By:	PACIFIC EXCHANGE, INC. (PCX)
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	UNDERTAKING TO TAKE PCX BROKER EXAM
Date Initiated:	08/01/2004
Docket/Case Number:	OS 0204194 ET, AL.
Employing firm when activity occurred which led to the regulatory action:	CASEY SECURITIES, LLC
Product Type:	Options
Other Product Type(s):	
Allegations:	WITHOUT ADMITTING OR DENYING ANY VIOLATIONS, GRAY CONSENTED TO AN OFFER OF SETTLEMENT FOR ALLEGATIONS OF THE FOLLOWING RULE VIOLATIONS: FAILED TO USE DUE DILIGENCE IN EXECUTING AN ORDER; FAILED TO IMMEDIATELY AND CONTINOUSLY REPRESENT ORDERS; VOCALIZED AND EXECUTED AN ORDER PRIOR TO SYSTEMIZATION; FAILED TO PRICE REPORT AN ORDER WITHIN 90 SECONDS OF EXECUTION AND ENGAGED IN IMPROPER TRADE THROUGHS. (PCX RULES 6.46(A), 6.67(C), 6.69(A) AND 6.94(A)(I)).

Current Status:	Final
Resolution:	Settled
Resolution Date:	09/29/2005
Sanctions Ordered:	Monetary/Fine $2,000.00
Other Sanctions Ordered:	UNDERTAKING TO TAKE PCX BROKER EXAM.
Sanction Details:	WITHOUT ADMITTING OR DENYING ANY VIOLATION, GRAY CONSENTED TO A FINE OF $2000.00 PAID ON 10/18/2005 AND AGREED TO TAKE THE PCX BROKER EXAM WITHIN 60 DAYS OF THE EXECUTION OF THE OFFER. (EXAM TAKEN NOVEMBER 7, 2005.)
Broker Statement	AS DESCRIBED ABOVE IN 12C; FINE WAS PAID ON 10/18/2005 AND PCX BROKER EXAM WAS TAKEN ON 11/07/2005.

End of Report

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