

BrokerCheck Report

DUNCAN BOSWELL SWANSTON

CRD# 5402343

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



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:
 - o 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
 - o 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.

**DUNCAN B. SWANSTON**

CRD# 5402343

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

B **E.F. HUTTON & CO. LLC**
New York, NY
CRD# 322687
Registered with this firm since: 12/03/2024

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:**

- 1 Self-Regulatory Organization
- 53 U.S. states and territories

This broker has passed:

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

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

- B** **STRATOSPHERE CAPITAL, LLC**
CRD# 327749
New York, NY
11/2024 - 01/2025
- B** **D. BORAL CAPITAL**
CRD# 103792
New York, NY
04/2022 - 11/2024
- B** **CGA SECURITIES, LLC**
CRD# 32301
Timonium, MD
08/2012 - 04/2022

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 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **E.F. HUTTON & CO. LLC**

Main Office Address: **745 FIFTH AVENUE
34TH FLOOR & PH
NEW YORK, NY 10151**

Firm CRD#: **322687**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	12/03/2024
B	FINRA	General Securities Representative	Approved	12/03/2024
B	FINRA	Investment Banking Representative	Approved	12/03/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/05/2026
B	Alaska	Agent	Approved	01/05/2026
B	Arizona	Agent	Approved	09/29/2025
B	Arkansas	Agent	Approved	01/05/2026
B	California	Agent	Approved	01/05/2026
B	Colorado	Agent	Approved	01/05/2026
B	Connecticut	Agent	Approved	01/05/2026
B	Delaware	Agent	Approved	02/24/2025
B	District of Columbia	Agent	Approved	01/05/2026
B	Florida	Agent	Approved	01/05/2026

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	01/05/2026
B	Hawaii	Agent	Approved	01/05/2026
B	Idaho	Agent	Approved	01/05/2026
B	Illinois	Agent	Approved	01/05/2026
B	Indiana	Agent	Approved	01/31/2025
B	Iowa	Agent	Approved	01/05/2026
B	Kansas	Agent	Approved	01/05/2026
B	Kentucky	Agent	Approved	01/05/2026
B	Louisiana	Agent	Approved	01/05/2026
B	Maine	Agent	Approved	01/05/2026
B	Maryland	Agent	Approved	12/12/2024
B	Massachusetts	Agent	Approved	04/30/2025
B	Michigan	Agent	Approved	01/05/2026
B	Minnesota	Agent	Approved	01/05/2026
B	Mississippi	Agent	Approved	01/05/2026
B	Missouri	Agent	Approved	01/05/2026
B	Montana	Agent	Approved	01/05/2026
B	Nebraska	Agent	Approved	01/05/2026
B	Nevada	Agent	Approved	01/05/2026
B	New Hampshire	Agent	Approved	01/05/2026
B	New Jersey	Agent	Approved	01/05/2026

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	01/05/2026
B	New York	Agent	Approved	12/04/2024
B	North Carolina	Agent	Approved	01/05/2026
B	North Dakota	Agent	Approved	01/05/2026
B	Ohio	Agent	Approved	01/05/2026
B	Oklahoma	Agent	Approved	01/05/2026
B	Oregon	Agent	Approved	01/05/2026
B	Pennsylvania	Agent	Approved	01/05/2026
B	Puerto Rico	Agent	Approved	01/05/2026
B	Rhode Island	Agent	Approved	01/05/2026
B	South Carolina	Agent	Approved	01/05/2026
B	South Dakota	Agent	Approved	02/11/2025
B	Tennessee	Agent	Approved	01/05/2026
B	Texas	Agent	Approved	09/29/2025
B	Utah	Agent	Approved	01/05/2026
B	Vermont	Agent	Approved	01/05/2026
B	Virgin Islands	Agent	Approved	01/05/2026
B	Virginia	Agent	Approved	12/10/2024
B	Washington	Agent	Approved	01/05/2026
B	West Virginia	Agent	Approved	01/05/2026
B	Wisconsin	Agent	Approved	01/05/2026

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Wyoming	Agent	Approved	01/05/2026

Branch Office Locations

E.F. HUTTON & CO. LLC
New York, 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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/27/2022

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Banking Registered Representative Examination	Series 79	12/24/2014
B General Securities Representative Examination	Series 7	04/14/2008

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/19/2009

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 11/2024 - 01/2025	STRATOSPHERE CAPITAL, LLC	327749	New York, NY
B 04/2022 - 11/2024	D. BORAL CAPITAL	103792	New York, NY
B 08/2012 - 04/2022	CGA SECURITIES, LLC	32301	Timonium, MD
B 07/2011 - 08/2012	BOSTONIA GLOBAL SECURITIES, LLC	128212	BALTIMORE, MD
B 04/2008 - 07/2009	RBS SECURITIES INC.	11707	TIMONIUM, MD

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
12/2024 - Present	E.F. HUTTON & CO. LLC	Registered Principal	Y	New York, NY, United States
11/2024 - 12/2024	STRATOSPHERE CAPITAL, LLC	Registered Representative	Y	Jersey City, NJ, United States
04/2022 - 11/2024	EF Hutton LLC fka Benchmark Investments, LLC	Managing Director, Head of Structured Products, Investment Banking	Y	New York, NY, United States
08/2012 - 04/2022	CGA SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	TIMONIUM, MD, United States
06/2009 - 04/2022	CGA CAPITAL CORPORATION, INC.	ASSOCIATE	N	TIMONIUM, MD, 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.

Registration and Employment History



Other Business Activities, continued

1. BOSWELL CASTLE HOLDINGS, LLC, investment related, 1718 Ruxton Rd Towson MD 21204, Family Office investment vehicle, managing member, 2017, 0 hours, 0 hours, collecting K-1s and sending to accountant for tax filing
 2. BROOKS & ASSOCIATES, investment related, - 32 West Rd Suite 230. Towson, MD 21204, Maryland real estate brokerage, Real Estate Salesperson, 2013, 0 hours, 0 hours, Brooks & Associates hold my real estate license(no active duties)
 3. K&L HOLDINGS, investment related, 1718 Ruxton Rd Towson, MD 21204, Family Office investment vehicle, managing member, 2019, 0 hours, 0 hours, collecting K-1s and sending to accountant for tax filing
 4. Big D, LLC, investment related, Baltimore, MD, holding company, managing member, 5/2022, 0 hours, 0 hours, holding company for K&L Holdings
 5. CGA KC REMAINDERMAN, LLC, investment related, 9475 Deereco Rd, STE 300 Timonium, MD 21093, passive real estate holding, member, 2014, 0 hours, 0 hours
 6. E.F. Hutton Servicing LLC, yes investment related, 181 Montauk Highway , East Hampton, NY 11937, commercial real estate loan servicing, vice president, 6/2022, 3 hours, 0 hours, service loans and IO certificates.
-

End of Report



This page is intentionally left blank.