

**BrokerCheck Report**  
**RICK SPYRO KIRKINIS**  
 CRD# 718062

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| Report Summary                      | 1                     |
| Broker Qualifications               | 2 - 3                 |
| Registration and Employment History | 5 - 7                 |
| Disclosure Events                   | 8                     |



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](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).

**RICK S. KIRKINIS**

CRD# 718062

This broker is not currently registered.

## 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 not currently registered.

#### This broker has passed:

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

### Registration History

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

- B** **UBS FINANCIAL SERVICES INC.**  
CRD# 8174  
FLORHAM PARK, NJ  
01/2009 - 12/2024
- B** **CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NORMANDY BEACH, NJ  
07/1993 - 02/2009
- B** **LEHMAN BROTHERS INC.**  
CRD# 7506  
NEW YORK, NY  
11/1991 - 07/1993

### 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     |

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 broker is not currently registered.



## 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

### General Industry/Product Exams

| Exam                                                     | Category  | Date       |
|----------------------------------------------------------|-----------|------------|
| <b>B</b> Securities Industry Essentials Examination      | SIE       | 10/01/2018 |
| <b>B</b> Futures Managed Funds Examination               | Series 31 | 04/03/2008 |
| <b>B</b> General Securities Representative Examination   | Series 7  | 01/16/1982 |
| <b>B</b> Municipal Securities Representative Examination | Series 52 | 10/18/1980 |

### State Securities Law Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 04/02/1992 |
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 07/10/1981 |

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> 01/2009 - 12/2024 | UBS FINANCIAL SERVICES INC.        | 8174 | FLORHAM PARK, NJ   |
| <b>B</b> 07/1993 - 02/2009 | CITIGROUP GLOBAL MARKETS INC.      | 7059 | NORMANDY BEACH, NJ |
| <b>B</b> 11/1991 - 07/1993 | LEHMAN BROTHERS INC.               | 7506 | NEW YORK, NY       |
| <b>B</b> 08/1986 - 10/1991 | PRUDENTIAL SECURITIES INCORPORATED | 7471 | NEW YORK, NY       |
| <b>B</b> 03/1983 - 08/1986 | MOORE & SCHLEY, CAMERON & CO.      | 6917 |                    |
| <b>B</b> 10/1982 - 08/1986 | MOORE & SCHLEY MUNICIPALS, INC.    | 8000 |                    |
| <b>B</b> 10/1980 - 09/1982 | J. B. HANAUER & CO.                | 6958 |                    |

### 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               |
|-------------------|----------------------------|-------------------|--------------------|---------------------------------|
| 01/2009 - Present | UBS FINANCIAL SERVICES INC | FINANCIAL ADVISOR | Y                  | FLORHAM PARK, NJ, 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)NORTHKIRK HOLDINGS LLC / 30 BLACKWELL AVE MORRISTOWN,NJ 07960 / COMPANY/ FINANCIAL (CONSUMER & INVESTMENT SERVICES) / INVESTMENTS / PARTNER / INVESTMENT / START DATE 08/03/2007.

2)SANDKIRK LLC / 30 BLACKWELL AVE MORRISTOWN,NJ 07960 / COMPANY/ REAL ESTATE / REAL ESTATE HOLDING / PARTNER / MAMAGER / START DATE 08/06/2008.

3)BRADSHAW PROPERTIES LLC. / 30 BLACKWELL AVE MORRISTOWN,NJ 07960 / COMPANY/ REAL ESTATE / BUY AND SELL REAL



## Registration and Employment History

### Other Business Activities, continued

ESTATE AND MORTGAGES / PARTNER / / NONE / START DATE 08/02/2011 /

4)GARDEN STATE VENTURES / 408 MAIN ST, SUITE 502 BOONTON,NJ 07005 / COMPANY/ REAL ESTATE / MORTGAGE INVESTMENTS / PARTNER / START DATE 08/01/2012 /

5)JD & PB LLC / 408 MAIN STREET BOONTON,NJ 07005 / COMPANY/ REAL ESTATE / REAL ESTATE AND MORTGAGE INVESTMENTS / OTHER / WIFE IS PARTNER / ADVISORY / START DATE 11/1/2013

6)NJ TSC VENTURES LLC / 408 MAIN STREET BOONTON,NJ 07005 / COMPANY/ REAL ESTATE / INVEST IN TAX LIENS AND MORTGAGES / PARTNER / START DATE 2/14/2014

7)JDRMDBP & PB LLC / 408 Main Street Boonton,NJ 07005 / Company/ Real Estate / real estate investment / Partner / / na / Start Date 5/12/15 /

8) Bradshaw Properties 2 LLC / 408 Main Street Boonton,NJ 07005 / Company/ Real Estate / Real Estate / Other / my wife is a partner / na / Start Date 05/14/2014 /

9) JDRMDBP&RSK TST LLC / 408 Main St Boonton,NJ 07005 / Company/ Real Estate / real estate investment / Partner / / na / Start Date 08/20/2015 /

10) Bradshaw Properties LLC / 408 Main Street, Boonton, NJ 07005 / United States / No / Company / Real Estate / Real Estate Investment / 70% ownership interest / Advice provided with regard to real estate investments. / Start Date 4/23/2019 / No / 43578

11) JDRMDBP-PB / 408 Main Street, Boonton, NJ 07005 / United States / No Partnership / Real Estate / Entity owns real estate / 70% owner, non- director / Investor with some decision making ability /Start Date 4/23/2019 / No / 43578

12) JD & PB LLC / 408 Main Street, Boonton, NJ 07005 / United States / No Company / Real Estate / Entity owns real estate / 70% owner of real estate entity / advice provided on real estate investments. / Start Date 4/23/2019 / No / 43578

13) Garden State Ventures / 408 Main Street, Boonton, NJ 07005 / United States / No / Company / Real Estate / Part owner in entity that owns Real Estate / Part owner of existing real estate investment / Provide advice regarding potential real estate investments / Start Date 4/23/2019 / No / 43578

14) Bradshaw Properties 2 LLC / 408 Main Street, Boonton, NJ 07005 / United States / No / Company / Real Estate / Entity invests in Real Estate / Part owner of real estate holdings and provide advice regarding potential RE investments / Start Date 4/23/2019 / No / 43578

15) JDRMDBP & RSK TST LLC / United States / 408 Main Street, Boonton, NJ 07005/ No / Company / Real Estate / Entity invests in real estate / Part owner in entity that owns real estate. Consulted on potential investments / Start Date 4/23/2019 / No / 43578

16)JDRMDBPP, SM, SKP, JD IRA LLC / 408 MAIN ST, Boonton, NJ 07005 / Company / Real Estate / Real Estate / Advisor or advisory group member if advice given may influence an officer/board / NONE / Start Date 7/15/2019

17)Southkirk Properties LLC/ Category - Company/ Principal business Activity - Real Estate Investment/ Role - operating manager/ Duty-advisory/ Comp -No

# Registration and Employment History

---



## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

|                                                                            |                                                                                                       |
|----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Regulator                                                                                             |
| <b>Employing firm when activities occurred which led to the complaint:</b> | PRUDENTIAL SECURITIES, INC.                                                                           |
| <b>Allegations:</b>                                                        | SUITABILITY; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT |
| <b>Product Type:</b>                                                       |                                                                                                       |
| <b>Alleged Damages:</b>                                                    | \$9,354.80                                                                                            |

#### Arbitration Information

|                                                                     |                                                                                                                                                                                                                                                                                                                     |
|---------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b> | <a href="#">NASD - CASE #93-00934</a>                                                                                                                                                                                                                                                                               |
| <b>Date Notice/Process Served:</b>                                  | 06/09/1993                                                                                                                                                                                                                                                                                                          |
| <b>Arbitration Pending?</b>                                         | No                                                                                                                                                                                                                                                                                                                  |
| <b>Disposition:</b>                                                 | Other                                                                                                                                                                                                                                                                                                               |
| <b>Disposition Date:</b>                                            | 10/12/1993                                                                                                                                                                                                                                                                                                          |
| <b>Disposition Detail:</b>                                          | AWARD AGAINST PARTY<br>ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$9,904.24 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$3,000.00 JOINTLY AND SEVERALLY; OTHER |



MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL),  
AWARD AMOUNT \$150.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF  
REQUEST HAS BEEN DENIED IN FULL

---

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** CLIENT ALLEGED UNSUITABILITY AND  
MISREPRESENTATION IN INVESTMENT IN POLARIS INCOME FUND 3.  
CLAIMANT ALLEGED DAMAGES OF \$20,000 PLUS ATTORNEY'S FEES.

**Product Type:**

**Alleged Damages:** \$9,354.80

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [National Association of Securities Dealers, Inc.; 93-00934](#)

**Date Notice/Process Served:** 06/09/1993

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 10/12/1993

**Monetary Compensation Amount:** \$102,174.00

**Individual Contribution Amount:**

**Firm Statement**

THE ARBITRATOR AWARDED \$9,904.24 PLUS \$3,000 IN ATTORNEY FEES. ARBITRATOR DENIED \$11,000 CLAIM FOR INTEREST. THIS FURTHER AMENDMENT IS BEING MADE TO POINT OUT THAT PRUDENTIAL SECURITIES AND MR. KIRKINIS DENIED THE ALLEGATIONS AND FOUGHT THIS CASE THROUGH ARBITRATION.

**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

PRUDENTIAL SECURITIES, INC.

**Allegations:**

SUITABILITY: ACCOUNT RELATED - FAILURE TO SUPERVISE: ACCOUNT RELATED - NEGLIGENCE: BRCH OF FIDUCIARY DT

**Product Type:**

Other: UNKNOWN

**Alleged Damages:**

\$9,354.80

**Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

**Status:**

Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:**

06/09/1993

**Settlement Amount:**

\$12,904.24

**Individual Contribution Amount:**

\$0.00

**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

NASD

**Docket/Case #:**[93-00934](#)**Date Notice/Process Served:**

06/09/1993

**Arbitration Pending?**

No

**Disposition:**

Award to Customer

**Disposition Date:**

10/12/1993



**Monetary Compensation Amount:** \$12,904.24

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE ARBITRATOR AWARDED \$9,904.24 PLUS \$3,000.00 IN ATTORNEY FEES. ARBITRATOR DENIED \$11,000 CLAIM FOR INTEREST. I, RICK S. KIRKINIS, DENY ALL ALLEGATIONS OF ANY WRONG DOING. FURTHERMORE, I HAVE NOT BEEN ASKED TO PARTICIPATE IN THE FINANCIAL SETTLEMENT. THIS PRODUCT WAS MARKETING BY PRUDENTIAL SECURITIES, AND I BELIEVE THAT IT WAS A SUITABLE INVESTMENT FOR THE CLIENT BASED ON THE MARKETING INFORMATION MADE AVAILABLE BY PRUDENTIAL AT THAT TIME.

## End of Report



**This page is intentionally left blank.**