



IAPD Report

ERIC CHARLES KUBY

CRD# 1203246

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page
<http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ERIC CHARLES KUBY (CRD# 1203246)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/03/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NORTH STAR INVESTMENT MANAGEMENT CORPORATION	CRD# 117681	09/22/2004

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	NEWEDGE SECURITIES, INC.	10674	CHICAGO, IL	10/22/2016 - 12/02/2021
B	NORTH STAR INVESTMENT SERVICES, INC.	7984	CHICAGO, IL	09/17/2004 - 10/22/2016
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	08/05/2000 - 10/04/2004

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NORTH STAR INVESTMENT MANAGEMENT CORPORATION**

Main Address: 20 N. WACKER DRIVE
SUITE 1416
CHICAGO, IL 60606-2902

Firm ID#: 117681

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	09/22/2004

Branch Office Locations

NORTH STAR INVESTMENT MANAGEMENT CORPORATION

20 N. WACKER DRIVE
SUITE 1416
CHICAGO, IL 60606-2902



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/16/2015

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Foreign Currency Options Examination (S15)	Series 15	02/08/1984
 General Securities Representative Examination (S7)	Series 7	12/17/1983
 Interest Rate Options Examination (S5)	Series 5	11/11/1983
 National Commodity Futures Examination (S3)	Series 3	11/04/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/05/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/1983



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/22/2016 - 12/02/2021	NEWEDGE SECURITIES, INC.	CRD# 10674	CHICAGO, IL
B	09/17/2004 - 10/22/2016	NORTH STAR INVESTMENT SERVICES, INC.	CRD# 7984	CHICAGO, IL
B	08/05/2000 - 10/04/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	08/05/2000 - 10/04/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	CHICAGO, IL
B	05/23/1997 - 08/05/2000	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	04/19/1993 - 06/12/1997	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	01/15/1990 - 05/05/1993	RODMAN & RENSHAW INC.	CRD# 724	CHICAGO, IL
B	01/28/1986 - 01/24/1990	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	12/21/1983 - 03/26/1986	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2004 - Present	NORTH STAR INVESTMENT MANAGEMENT CORP.	CHIEF INVESTMENT OFFICER	Y	CHICAGO, IL, United States
10/2016 - 12/2021	NewEdge Securities, Inc.	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
09/2004 - 10/2016	NORTH STAR INVESTMENT SERVICES, INC.	SENIOR MANAGING DIRECTOR	Y	CHICAGO, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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)KUBY GOTTLIEB INVESTMENTS~INVESTMENT RELATED~20 N. WACKER DRIVE, #1416, CHICAGO, IL



Registration & Employment History

OTHER BUSINESS ACTIVITIES

60606~PARTNERSHIP~50% OWNER~SEPTEMBER 1997~2HRS PER MONTH~2HRS PER MONTH DURING MARKET~ADMINISTRATIVE ----- 2)NORTH STAR FINANCIAL SERVICES~INVESTMENT RELATED~20 N. WACKER DRIVE, #1416, CHICAGO, IL 60606~HOLDING COMPANY~PRESIDENT~SEPTEMBER 2004~2HRS PER MONTH~2HRS PER MONTH DURING MARKET~REVIEW DOCUMENTS ----- 3)REGAL INVESTMENT ADVISORS LLC~INVESTMENT RELATED~2687 44TH STREET, SE, KENTWOOD, MI 49512~RIA~INVESTMENT COMMITTEE MEMBER~MARCH 2016~2HRS PER MONTH~2HRS PER MONTH DURING MARKET~ATTEND MEETINGS-----5) NEWEDGE SECURITIES, INC.; INVESTMENT-RELATED; 1251 WATERFRONT PLACE, SUITE 510, PITTSBURGH, PA 15222; REGISTERED BROKER DEALER; REGISTERED REPRESENTATIVE; NOVEMBER 2016.; 10-20 HOURS/MONTH; 15 HOURS/MONTH DURING TRADING HOURS; INVESTMENT SERVICES.



End of Report

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