



## IAPD Report

# CASEY SAMUEL LOCKARD

CRD# 2090983

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| Report Summary                      | 1                     |
| Qualifications                      | 2 - 3                 |
| Registration and Employment History | 4                     |
| Disclosure Information              | 5                     |



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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

### CASEY SAMUEL LOCKARD (CRD# 2090983)

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 **12/10/2014**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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      |
|-------------------------------|------|----------------|-------------------------|
| IA CHARLES SCHWAB & CO., INC. | 5393 | SCOTTSDALE, AZ | 10/21/2005 - 01/12/2011 |

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

These disclosure events relate to any Investment Adviser Representative who is not currently registered and who: (1) was the subject of a final regulatory event; (2) was convicted of or pled guilty or nolo contendere to a crime; (3) was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) was named as a respondent or defendant or was the subject of an arbitration or civil litigation which resulted in an award, decision or judgment for a customer.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type     | Count |
|----------|-------|
| Criminal | 1     |



## 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 not currently registered as an Investment Adviser Representative.



## 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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

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

#### General Industry/Product Exams

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

#### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 03/03/1994 |

### 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 |
|----------------------------|----------------------------|-----------|-----------------|
| IA 10/21/2005 - 01/12/2011 | CHARLES SCHWAB & CO., INC. | CRD# 5393 | SCOTTSDALE, AZ  |

### 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             |
|-------------------|---------------------------|---------------------------|--------------------|-------------------------------|
| 02/2011 - Present | NORTHERN TRUST SECURITIES | REGISTERED REPRESENTATIVE | Y                  | SCOTTSDALE, AZ, United States |
| 01/2011 - Present | NORTHERN TRUST BANK       | INVESTMENT CONSULTANT     | Y                  | SCOTTSDALE, AZ, United States |



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

**(1) Disclosure events in IAPD reports come from different sources:**

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions are separated by a solid line with the reporting source labeled.

**(2) You may wish to contact the Investment Adviser Representative to obtain further information regarding any of the disclosure events contained in this IAPD report.**



## DISCLOSURE EVENT DETAILS

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided. The following types of events are disclosed about this representative:

| Type   | Count  |
|--|--|
| Criminal   | 1  |
| <b>Criminal</b>  |  |
| This disclosure event involves a conviction or guilty plea of the Investment Adviser Representative for any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property). |  |
| <b>Disclosure 1 of 1</b>   |  |
| <b>Reporting Source:</b>   | Individual   |
| <b>Organization Name (if charge(s) were brought against an organization over which individual exercised control):</b>  | THIS WAS NOT AN INVESTMENT RELATED CHARGE.   |
| <b>Court Details:</b>  | THIS EVENT OCCURRED IN HARRISONBURG, VIRGINIA. CHARGES WERE BROUGHT IN ROCKINGHAM DISTRICT COURT. ORIGINAL COURT DOCUMENTS WERE PROVIDED ON MY FIRST U-4 FORM APPLICATION WHEN EMPLOYED BY SHEARSON, LEHMAN BROTHERS IN 1990.  |
| <b>Charge Date:</b>  | 03/27/1987   |
| <b>Charge Details:</b>   | I WAS ORIGINALLY WITH A CLASS 6 FELONY, UNAUTHORIZED USE OF A VEHICLE AND A CLASS 1 MISDEMEANOR, CONSUMPTION OF A PIZZA VALUED AT LESS THAN \$200. THE PLEA AGREEMENT WITH THE COURT WAS THAT THE FELONY WAS REDUCED TO A MISDEMEANOR, PLEADED NOLO CONTENDRE. THE MISDEMEANOR CHARGE WAS DROPPED BECAUSE I WAS A FIRST TIME OFFENDER AND A COLLEGE STUDENT IN GOOD ACADEMIC STANDING. UPON COMPLETION OF 40 HOURS COMMUNITY SERVICE WITHIN A 3 MONTH PROBATION PERIOD, THE MISDEMEANOR CHARGE WOULD BE DROPPED. |
| <b>Felony?</b>   | Yes  |
| <b>Current Status:</b>   | Final  |
| <b>Status Date:</b>  | 08/01/1987   |
| <b>Disposition Details:</b>  | IT IS MY UNDERSTANDING THAT THE MISDEMEANOR CHARGE UPON MY SUCCESSFUL COMPLETION OF COMMUNITY SERVICE AND THE PROBATION PERIOD. PROBATION WAS MAY THROUGH AUGUST OF 1987. NO FINES OR PENALTIES WERE LEVIED.   |
| <b>Broker Statement</b>  | THIS WAS A BAD COLLEGE PRANK WHERE WE MOVED MELANIE WHITES PIZZA DELIVERY CAROM FROM ONE SIDE OF THE CAMPUS TO THE OTHER. WE DID TURN OURSELVES IN TO CAMPUS POLICE WHEN WE DISCOVERED THAT SHE DIDN'T FIND HER CAR THE NEXT MORNING. THIS OCCURRED LATE MARCH 1987. BECAUSE I WAS A FIRST TIME OFFENDER, FELONY REDUCED TO MISDEMEANOR; THE MISDEMEANOR WAS DROPPED AND THE PLEAD OF NOLO CONTENDRE WAS DROPPED UPON SUCCESSFUL COMPLETION OF COMMUNITY SERVICE AND PROBATION.                                  |



## End of Report

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