



IAPD Report

GEORGE RICHARD BUCK

CRD# 2372799

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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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

GEORGE RICHARD BUCK (CRD# 2372799)

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 **08/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2018
IA	LPL FINANCIAL LLC	CRD# 6413	07/25/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	LPS PARTNERS INC.	155246	NEW YORK, NY	01/29/2014 - 01/29/2015
B	ICAP CORPORATES LLC	2762	JERSEY CITY, NJ	06/28/2012 - 10/31/2013
B	GARGOYLE STRATEGIC INVESTMENTS L.L.C.	43238	ENGLEWOOD, NJ	12/24/2011 - 04/11/2012

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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 currently registered with 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/10/2018
B	California	Agent	Approved	07/12/2019
B	Colorado	Agent	Approved	05/31/2019
B	Connecticut	Agent	Approved	07/11/2018
IA	Connecticut	Investment Adviser Representative	Approved	07/25/2018
B	Nebraska	Agent	Approved	05/13/2019
B	New York	Agent	Approved	02/12/2019
B	Pennsylvania	Agent	Approved	04/26/2019
IA	Pennsylvania	Investment Adviser Representative	Approved	06/24/2019
B	Texas	Agent	Approved	05/09/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	05/09/2019

Branch Office Locations

LPL FINANCIAL LLC
263 TRESSER BLVD. FIRST FLOOR
STAMFORD, CT 06901



Qualifications

LPL FINANCIAL LLC
NEW CANAAN, CT



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination (S4)	Series 4	07/01/2014

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/10/2018
National Commodity Futures Examination (S3)	Series 3	06/21/2011

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	07/24/2018
Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/2012

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	01/29/2014 - 01/29/2015	LPS PARTNERS INC.	CRD# 155246	NEW YORK, NY
B	06/28/2012 - 10/31/2013	ICAP CORPORATES LLC	CRD# 2762	JERSEY CITY, NJ
B	12/24/2011 - 04/11/2012	GARGOYLE STRATEGIC INVESTMENTS L.L.C.	CRD# 43238	ENGLEWOOD, NJ
B	12/09/2003 - 06/04/2004	G & D TRADING COMPANY, LLC	CRD# 41207	NEW YORK, NY

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
06/2018 - Present	LPL Financial LLC	Registered Representative	Y	Stamford, CT, United States
12/2016 - 06/2018	HB Capital Partners	Partner	Y	New Canaan, CT, United States
03/2015 - 11/2016	unemployed	unemployed	N	New Canaan, CT, 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)6/25/18- American Strategic Advisors- DBA for LPL Business (entity for LPL business)- Inv.Related- Stamford, CT- 100%
- 2). 03/25/2019 - No business name - Investment related - At reported business location(s) - Consulting - start date:01/02/2019 - 1 hr/mo - 1 hr during trading.
- 3) 5/7/2019 - Tri County Area Federal Credit Union - DBA: Tri County Area Investment & Retirement Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 06/01/2019 - 5 Hours Per Month/5 Hours During Securities Trading.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) 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, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

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



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	AMERICAN STOCK EXCHANGE LLC
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	A CENSURE AND A \$20,000 FINE IMPOSED.
Date Initiated:	12/26/2000
Docket/Case Number:	00-35
Employing firm when activity occurred which led to the regulatory action:	G&D TRADING COMPANY, LLC
Product Type:	Options
Other Product Type(s):	
Allegations:	BUCK VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION BY INITIATING AND ENTERING OPTIONS TRANSACTIONS FROM OFF THE FLOOR OF THE EXCHANGE IN A MARKET MAKER ACCOUNT (RATHER THAN A PERSONAL ACCOUNT), THEREBY CAUSING G&D TRADING TO IMPROPERLY RECEIVE PREFERENTIAL MARGIN TREATMENT FOR THE TRANSACTIONS; EXCHANGE RULE 341, AND THE COMMENTARY THERETO, IN THAT HE FAILED TO REGISTER AND QUALIFY WITH THE EXCHANGE, INCLUDING FAILING TO TAKE AND SUCCESSFULLY COMPLETE THE SERIES 7 EXAMINATION PRIOR TO TRADING OFF-FLOOR IN AN ACCOUNT OF G&D TRADING AND BUCK ALSO CAUSED G&D TRADING TO VIOLATE SECTION 224 OF REGULATION X OF THE FEDERAL RESERVE BOARD RULES AND REGULATIONS (APPLICABLE TO MEMBERS AND MEMBER FIRMS PURSUANT TO ARTICLE V, SECTION 4(I) OF THE EXCHANGE CONSTITUTION), IN THAT THE FIRM RECEIVED PREFERENTIAL MARGIN



TREATMENT FOR OPTIONS TRANSACTIONS EFFECTED IN A MARKET MAKER ACCOUNT.

Current Status: Final

Resolution: Stipulation and Consent

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: 08/13/2002

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered: SEE # 2 ABOVE.

Sanction Details: SEE ABOVE FOR FINE DETAIL. FINE IS TO BE PAID IN FULL ON OR BEFORE SEPTEMBER 20, 2002 OR THE EXCHANGE WILL TAKE FURTHER ACTION AGAINST BUCK UNDER EXCHANGE RULE 345(L) TO SUSPEND HIM FROM ASSOCIATION IN ANY CAPACITY WITH A MEMBER OR MEMBER ORGANIZATION UNTIL SUCH FINE IS PAID.

Regulator Statement PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAIL.

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Reporting Source: Individual

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE LLC

Sanction(s) Sought: Censure
Civil and Administrative Penalty(ies)/Fine(s)
Other: A CENSURE AND A \$20,000.00 FINE IMPOSED

Date Initiated: 12/26/2000

Docket/Case Number: 00-35

Employing firm when activity occurred which led to the regulatory action: G&D TRADING COMPANY, LLC

Product Type: Options

Allegations: BUCK VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION BY INITIATING AND ENTERING OPTIONS TRANSACTIONS FROM OFF THE FLOOR OF THE EXCHANGE IN A MARKET MAKER ACCOUNT (RATHER THAN A PERSONAL ACCOUNT), THEREBY CAUSING G&D TRADING TO IMPROPERLY RECEIVE PREFERENTIAL MARGIN TREATMENT FOR THE TRANSACTIONS; EXCHANGE RULE 341, AND THE COMMENTARY THERETO, IN THAT HE FAILED TO REGISTER AND QUALIFY WITH THE EXCHANGE, INCLUDING FAILING TO TAKE AND SUCCESSFULLY COMPLETE THE SERIES 7 EXAMINATION PRIOR TO TRADING OFF-FLOOR IN AN ACCOUNT OF G&D TRADING AND BUCK ALSO CAUSED G&D TRADING TO VIOLATE SECTION 224 OF REGULATION X OF THE FEDERAL RESERVE BOARD RULES AND REGULATIONS (APPLICABLE TO MEMBERS AND MEMBER FIRMS PURSUANT TO ARTICLE V, SECTION 4(I) OF THE EXCHANGE CONSTITUTION), IN THAT THE FIRM RECEIVED PREFERENTIAL MARGIN



TREATMENT FOR OPTIONS TRANSACTIONS EFFECTED IN A MARKET MAKER ACCOUNT.

Current Status:

Final

Resolution:

Stipulation and Consent

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:

08/13/2002

Sanctions Ordered:

Censure
Other: SEE #2 ABOVE

Monetary Sanction 1 of 1

Monetary Related Sanction:

Monetary Penalty other than Fines

Total Amount:

\$20,000.00

Portion Levied against individual:

\$0.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAIL.



End of Report

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