



IAPD Report

DARREN GREGORY JURICK

CRD# 2414166

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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

DARREN GREGORY JURICK (CRD# 2414166)

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 **02/05/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JURICK FINANCIAL SERVICES	CRD# 324787	10/10/2023

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
IA	MURRAY STREET CAPITAL ADVISORS, LLC	300232	Parkland, FL	04/13/2020 - 02/05/2024
IA	SINGER WEALTH ADVISORS INC.	170470	BOCA RATON, FL	09/15/2017 - 03/20/2020
IA	INVESTACORP ADVISORY SERVICES INC	109011	Boca Raton, FL	08/25/2016 - 04/19/2018

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
Customer Dispute	3
Financial	4
Judgment/Lien	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JURICK FINANCIAL SERVICES**
Main Address: 8040 NW 124 TERR
PARKLAND, FL 33076
Firm ID#: 324787

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

JURICK FINANCIAL SERVICES
8040 NW 124 TERR
PARKLAND, FL 33076



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	04/19/2018
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B General Securities Representative Examination (S7)	Series 7	01/21/1994
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/02/2000
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/11/1994
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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	04/13/2020 - 02/05/2024	MURRAY STREET CAPITAL ADVISORS, LLC	CRD# 300232	Parkland, FL
IA	09/15/2017 - 03/20/2020	SINGER WEALTH ADVISORS INC.	CRD# 170470	BOCA RATON, FL
IA	08/25/2016 - 04/19/2018	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	Boca Raton, FL
B	08/19/2016 - 04/19/2018	INVESTACORP, INC.	CRD# 7684	BOCA RATON, FL
B	11/09/2012 - 08/23/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Ft Lauderdale, FL
IA	11/09/2012 - 08/23/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Ft Lauderdale, FL
IA	02/10/2005 - 11/16/2012	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	MIRAMAR, FL
B	01/08/2005 - 11/16/2012	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	MIRAMAR, FL
B	11/21/2000 - 01/28/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
IA	11/21/2000 - 01/28/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	FORT LAUDERDALE, FL
B	11/14/1997 - 12/01/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/01/1994 - 10/29/1997	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	01/24/1994 - 02/01/1994	AMERICORP SECURITIES, INC.	CRD# 30405	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
01/2022 - Present	Jurick Financial Services	Owner & CCO	Y	Parkland, FL, United States
04/2020 - Present	Murray Street Capital Advisors, LLC	IAR	Y	Fort Lauderdale, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - 03/2020	Singer Wealth Management	Investment Adviser Representative	Y	1515 S. FEDERAL HIGHWAY #211, Boca Raton, FL33432, FL, United States
09/2016 - 03/2020	Singer Wealth Management	Financial Advisor	Y	1515 S. FEDERAL HIGHWAY #211, Boca Raton, FL33432, FL, United States
08/2016 - 03/2020	SINGER WEALTH MANAGEMENT	FINANCIAL ADVISOR	Y	BOCA RATON, FL, United States
08/2016 - 04/2018	INVESTACORP ADVISORY SERVICES	REGISTERED INVESTMENT ADVISOR	Y	Miami, FL, United States
08/2016 - 04/2018	INVESTACORP INC	REGISTERED REPRESENTATIVE	Y	Miami, FL, United States
11/2011 - 09/2016	Ameriprise	AE	Y	Plantation, FL, United States
11/2012 - 08/2016	AMERIPRISE FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PLANTATION, FL, 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.

Mr. Jurick is also a licensed insurance professional, an investment-related business. Mr. Jurick spends approximately 10% of his time per month in this capacity.



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
Customer Dispute	3
Financial	4
Judgment/Lien	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Claimant alleges respondent's former advisor recommended unsuitable investments, including Ferrellgas Partners, in September 2015. Claimant alleges the former advisor left Ameriprise a year later and the investment decreased in value during the time period after claimant's advisor left Ameriprise and the time Claimant moved his investment to his advisor's new firm.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA FL
Docket/Case #:	19-00591
Filing date of arbitration/CFTC reparation or civil litigation:	02/26/2019

**Customer Complaint Information****Date Complaint Received:** 02/26/2019**Complaint Pending?** No**Status:** Settled**Status Date:** 11/19/2019**Settlement Amount:** \$72,500.00**Individual Contribution Amount:** \$0.00**Firm Statement** Ameriprise settled this matter to avoid the costs associated with FINRA arbitration.
.....**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.**Allegations:** Claimant alleges respondent's former advisor recommended unsuitable investments, including Ferrellgas Partners, in September 2015. Claimant alleges the former advisor left Ameriprise a year later and the investment decreased in value during the time period after claimant's advisor left Ameriprise and the time Claimant moved his investment to his advisor's new firm.**Product Type:** Oil & Gas**Alleged Damages:** \$100,000.00**Is this an oral complaint?** No**Is this a written complaint?** Yes**Is this an arbitration/CFTC reparation or civil litigation?** No**Customer Complaint Information****Date Complaint Received:** 02/26/2019**Complaint Pending?** No**Status:** Settled**Status Date:** 11/19/2019**Settlement Amount:** \$72,500.00**Individual Contribution Amount:** \$0.00**Broker Statement** Claimant alleges Ameriprise recommended unsuitable investments, including Ferrellgas Partners, in September 2015. Claimant alleges the investment decreased in value significantly.**Disclosure 2 of 3****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** Ameriprise Financial Services, Inc.



Allegations: Claimant alleges that she was recommended unsuitable investments including Oppenheimer Rochester Muni Bond Fund and Eaton Vance Tax Managed Dividend Fund. She also alleges that her accounts were over-concentrated in securities that used margin. In addition, she alleges that the risks associated with the funds were not explained to her and that security purchases were executed without her authorization.

Product Type: Mutual Fund

Alleged Damages: \$10,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant seeks compensatory damages between \$100,000 and \$500,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA FL

Docket/Case #: 05-03420

Filing date of arbitration/CFTC reparation or civil litigation: 01/06/2016

Customer Complaint Information

Date Complaint Received: 01/06/2016

Complaint Pending? No

Status: Settled

Status Date: 01/19/2017

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement Ameriprise chose to settle this matter in order to avoid the costs associated with FINRA arbitration.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Principal Securities Inc and Ameriprise Financial Services Inc

Allegations: Claimant alleges registered representative was involved in improper sales practices, self dealing, unsuitable investment recommendations, failure to follow instructions, failure to memorialize claimant's investment objectives, unauthorized trading and overconcentration of unsuitable securities and unauthorized margin debit.

Product Type: Mutual Fund
Oil & Gas

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): damages not specified

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA Arbitration

Docket/Case #: 15-03420

Filing date of arbitration/CFTC reparation or civil litigation: 12/21/2015

Customer Complaint Information

Date Complaint Received: 01/11/2016

Complaint Pending? No

Status: Settled

Status Date: 07/18/2016

Settlement Amount: \$22,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Principal Securities, Inc. and Ameriprise Financial Services, Inc.

Allegations: Claimant alleges registered representative was involved in improper sales practices, self dealing, unsuitable investment recommendations, failure to follow instructions, failure to memorialize claimant's investment objectives, unauthorized trading and overconcentration of unsuitable securities and unauthorized margin debit.

Product Type: Mutual Fund
Oil & Gas

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): damages not specified

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA Arbitration



Docket/Case #: 15-03420
Filing date of arbitration/CFTC reparation or civil litigation: 12/21/2015

Customer Complaint Information

Date Complaint Received: 01/11/2016
Complaint Pending? No
Status: Settled
Status Date: 01/19/2017
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: GRUNTAL AND CO., L.L.C.

Allegations: THE CLIENT'S ATTORNEY ALLEGED THAT ON SEVERAL OCCASIONS MR. JURICK BOUGHT OR SOLD SECURITIES WITHOUT AUTHORIZATION. HE ALSO ALLEGED THAT JURICK UTILIZED MARGIN WITHOUT AUTHORIZATION AND THAT HE IGNORED SEVERAL REQUESTS TO CLOSE THE ACCOUNT. NO CLAIM FOR DAMAGES WAS MADE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/29/1998
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:
Firm Statement PENDING
 Not Provided

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GRUNTAL AND CO., L.L.C.

Allegations: THE CLIENT'S ATTORNEY ALLEGED THAT ON SEVERAL OCCASIONS MR. JURICK BOUGHT OR SOLD SECURITIES WITHOUT AUTHORIZATION. HE ALSO ALLEGED THAT MR. JURICK UTILIZED MARGIN WITHOUT AUTHORIZATION AND THAT HE IGNORED SEVERAL REQUESTS TO



CLOSE THE ACCOUNT. NO CLAIM FOR DAMAGES WAS MADE.

Product Type: Other: MARGIN

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES NOT SPECIFIED

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/29/1998

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/01/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement

IN REGARDS TO THE COMPLAINT CLIENT ALLEGED THAT WE UTILIZED MARGIN WITHOUT AUTHORIZATION. GRUNTAL & CO PROVIDED THE CLIENT'S ATTORNEY COPIES OF THE MARGIN AGREEMENT THAT WAS SIGNED BY THE CLIENT. MARGIN WAS UTILIZED IN A VERY SMALL CAPACITY WHICH LEAD TO NO LOSES AND THE COMPLAINT WENT AWAY. NO FURTHER ACTION WAS TAKEN.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source: Regulator
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 09/25/2019

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: U.S. Bankruptcy Court
Location of Court: Southern District of Florida
Docket/Case #: 19-22783-JKO
Action Pending? No
Disposition: Discharged
Disposition Date: 02/18/2020

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 09/25/2019

Organization Investment-Related?

Type of Court: Broward County Court
Name of Court: United States Bankruptcy Court, Southern District Florida
Location of Court: Broward County, Florida
Docket/Case #: 19-22783-PGH
Action Pending? No
Disposition: Discharged
Disposition Date: 02/18/2020

Disclosure 2 of 4

Reporting Source: Individual
Action Type: Compromise
Action Date: 04/25/2017

Organization Investment-



Related?

Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 06/23/2017
If a compromise with creditor, provide:
Name of Creditor: CITIBANK
Original Amount Owed: \$3,046.72
Terms Reached with Creditor: THE SETTLEMENT AMOUNT WAS \$1,050.00.

Amount Paid:

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No
Date Direct Payment Initiated/Filed or Trustee Appointed: 06/23/2017

Disclosure 3 of 4

Reporting Source: Individual
Action Type: Compromise
Action Date: 01/05/2017

Organization Investment-Related?

Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/15/2017
If a compromise with creditor, provide:
Name of Creditor: AMERICAN EXPRESS CENTURION BANK
Original Amount Owed: \$6,317.92
Terms Reached with Creditor: THE SETTLEMENT AMOUNT WAS \$2,085.00.

Amount Paid:

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No



Date Direct Payment Initiated/Filed or Trustee Appointed: 02/03/2017

Disclosure 4 of 4

Reporting Source: Individual
Action Type: Compromise
Action Date: 01/05/2017

Organization Investment-Related?

Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/15/2017

If a compromise with creditor, provide:

Name of Creditor: AMERICAN EXPRESS CENTURION BANK
Original Amount Owed: \$5,160.79
Terms Reached with Creditor: THE SETTLEMENT AMOUNT WAS \$1,915.00.

Amount Paid:

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No
Date Direct Payment Initiated/Filed or Trustee Appointed: 02/03/2017



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Department of the Treasury - Internal Revenue Service
Judgment/Lien Amount:	\$33,076.60
Judgment/Lien Type:	Tax
Date Filed with Court:	09/12/2019
Date Individual Learned:	10/01/2019
Type of Court:	State Court
Name of Court:	Broward County Courthouse, Florida
Location of Court:	Fort Lauderdale, Florida
Docket/Case #:	18331 Serial# 381296919
Judgment/Lien Outstanding?	Yes
Broker Statement	Advisor is working out a payment plan with the IRS



End of Report

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