



IAPD Report

DEREK ANTHONY ECKERT

CRD# 2651156

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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

DEREK ANTHONY ECKERT (CRD# 2651156)

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 **09/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FARTHER	CRD# 302050	03/05/2025

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	SYNTROPY WEALTH MANAGEMENT LLC	293062	AUSTIN, TX	05/24/2018 - 09/22/2025
IA	ADVICE AND PLANNING SERVICES	20472	AUSTIN, TX	06/20/2007 - 03/14/2018
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	AUSTIN, TX	06/20/2007 - 03/14/2018

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	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: **FARTHER**
Main Address: 345 CALIFORNIA STREET
SUITE 600
SAN FRANCISCO, CA 94104
Firm ID#: 302050

	Regulator	Registration	Status	Date
	Texas	Investment Adviser Representative	Approved	03/05/2025

Branch Office Locations

FARTHER
Austin, TX



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

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/13/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	03/14/2018
 National Commodity Futures Examination (S3)	Series 3	05/27/2003
 Limited Representative-Equity Trader Exam (S55)	Series 55	07/03/2001
 General Securities Representative Examination (S7)	Series 7	04/02/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/12/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked



and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	05/24/2018 - 09/22/2025	SYNTROPY WEALTH MANAGEMENT LLC	CRD# 293062	AUSTIN, TX
IA	06/20/2007 - 03/14/2018	ADVICE AND PLANNING SERVICES	CRD# 20472	AUSTIN, TX
B	06/20/2007 - 03/14/2018	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	AUSTIN, TX
IA	01/10/2006 - 05/30/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AUSTIN, TX
B	12/09/2005 - 05/30/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AUSTIN, TX
B	01/02/2001 - 07/26/2005	CYBERTRADER, INC.	CRD# 44523	AUSTIN, TX
B	02/16/2005 - 07/20/2005	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	10/08/1998 - 01/08/2001	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	12/19/1995 - 04/06/1998	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI
B	09/18/1995 - 12/13/1995	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT

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
02/2025 - Present	Farther Finance Advisors	Senior Vice President	Y	Austin, TX, United States
04/2018 - Present	Syntropy Wealth Management LLC	Director	Y	Austin, TX, United States
04/2007 - 04/2018	TIAA-CREF Individual & Institutional Services, LLC	Wealth Management Advisor	Y	Austin, TX, United States



Registration & Employment History



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.

Name of other business: Women in Neuroscience;

Is business Investment related: No;

Address of other business: 3507 N. Lamar Blvd., #300210, Austin, TX 78705;

Nature of other business: Non-Profit;

Title and relationship with other business: Board Member;

Start date of relationship: 04/2024;

Approx. # of hours /month devote to other business: 5;

Number of hours devoted to other business during securities trading hours: 2;

Briefly describe duties: promote awareness, develop programs, fundraise.



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	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP
Allegations:	CLIENT ALLEGES AN UNSUITABLE RECOMMENDATION AND MISREPRESENTATION RELATING TO THE LIQUIDITY OF AN AUCTION RATE SECURITY PURCHASE. DAMAGES ARE UNSPECIFIED.
Product Type:	Debt - Municipal
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	06/04/2008
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2008
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00

Firm Statement	ON AUGUST 13 AND 14, 2008, JPMORGAN CHASE AGREED TO A SETTLEMENT IN PRINCIPLE WITH THE NEW YORK ATTORNEY GENERAL'S OFFICE, AND THE OFFICE OF FINANCIAL REGULATION FOR THE STATE OF FLORIDA AND THE NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION TASK FORCE, RESPECTIVELY, WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN
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AUCTION RATE SECURITIES. AS PART OF THESE SETTLEMENTS, JP MORGAN SECURITIES, INC., PURCHASED BACK FROM CUSTOMERS ARS POSITION(S) AT PAR, IN ADDITION TO PAYING ACCRUED INTEREST ON THE PAR AMOUNT.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES AN UNSUITABLE RECOMMENDATION AND MISREPRESENTATION RELATING TO THE LIQUIDITY OF AN AUCTION RATE SECURITY PURCHASE. DAMAGES ARE UNSPECIFIED.

Product Type: Debt - Municipal

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/04/2008

Complaint Pending? No

Status: Settled

Status Date: 10/22/2008

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement ON AUGUST 13 AND 14, 2008, JPMORGAN CHASE AGREED TO A SETTLEMENT IN PRINCIPLE WITH THE NEW YORK ATTORNEY GENERAL'S OFFICE, AND THE OFFICE OF FINANCIAL REGULATION FOR THE STATE OF FLORIDA AND THE NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION TASK FORCE, RESPECTIVELY, WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN AUCTION RATE SECURITIES. AS PART OF THESE SETTLEMENTS, JP MORGAN SECURITIES, INC., PURCHASED BACK FROM CUSTOMERS ARS POSITION(S) AT PAR, IN ADDITION TO PAYING ACCRUED INTEREST ON THE PAR AMOUNT. IT SHOULD BE NOTED THAT THE CLIENTS SOUGHT NO SPECIFIC MONETARY SETTLEMENT BUT DID HAVE THEIR FULL PRINCIPAL OF \$100,000 PLUS INTEREST RECEIVED IN THE SETTLEMENT. ADDITIONALLY, AT THE TIME THE INVESTMENT WAS MADE IT WAS CONSISTENT WITH THE CLIENTS' STATED OBJECTIVES FOR THE FUNDS TO OBTAIN THE HIGHEST INTEREST RATES WHILE PRESERVING CAPITAL AND LIQUIDITY. AUCTION RATE SECURITIES WERE PRESENTED BY MANAGEMENT AS SUITABLE ALTERNATIVES TO MONEY MARKETS AND HAD BEEN SOLD AS SUCH FOR MANY YEARS PRIOR TO THE CREDIT MARKETS FREEZING UP. IT WAS ONLY DURING THE CREDIT CRUNCH THAT BONDS AND BOND DERIVATIVE PRODUCTS, SUCH AS ARS', FROZE UP AND THEREFORE HAD TO CANCEL AUCTIONS, THUS MAKING THE CLIENTS' FUNDS, ALONG WITH MOST OTHER ARS INVESTORS, ILLIQUID. THIS COMPLAINT REFLECTS THE HERETOFORE UNSEEN PROBLEMS OF ARS INVESTMENTS THAT AFFECTED THE ENTIRE INDUSTRY, AND NOT THE SPECIFIC INVESTMENT PLACED BY THE REPRESENTATIVE.



End of Report

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