



IAPD Report

Lynn Blair Thurgood

CRD# 2721398

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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

Lynn Blair Thurgood (CRD# 2721398)

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 **12/05/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BUCK WEALTH STRATEGIES, LLC	CRD# 322138	11/28/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	PORTSIDE WEALTH GROUP, LLC	325175	Rio Rancho, NM	04/25/2023 - 11/27/2023
IA	TOWNSQUARE CAPITAL, LLC	288576	Rio Rancho, NM	04/14/2020 - 06/23/2023
IA	HORTER INVESTMENT MANAGEMENT, LLC	119880	RIO RANCHO, NM	03/19/2014 - 05/26/2020

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
Termination	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BUCK WEALTH STRATEGIES, LLC**
Main Address: 4600 S. SYRACUSE STREET
SUITE 650
DENVER, CO 80237
Firm ID#: 322138

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	11/28/2023
IA	New Mexico	Investment Adviser Representative	Approved	11/28/2023
IA	Texas	Investment Adviser Representative	Approved	11/28/2023

Branch Office Locations

BUCK WEALTH STRATEGIES, LLC
481 Quantum Rd NE
Rio Rancho, NM 87124



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, 1 general industry/product exam, 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 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/26/1996
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2013
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/1996
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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	04/25/2023 - 11/27/2023	PORTSIDE WEALTH GROUP, LLC	CRD# 325175	Rio Rancho, NM
IA	04/14/2020 - 06/23/2023	TOWNSQUARE CAPITAL, LLC	CRD# 288576	Rio Rancho, NM
IA	03/19/2014 - 05/26/2020	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	RIO RANCHO, NM
B	10/07/2009 - 03/10/2014	CENTER STREET SECURITIES, INC.	CRD# 26898	RIO RANCHO, NM
B	07/23/2007 - 02/20/2008	BENEFICIAL INVESTMENT SERVICES, INC.	CRD# 136433	RIO RANCHO, NM
B	01/23/2006 - 08/09/2007	EQUITY SERVICES, INC.	CRD# 265	RIO RANCHO, NM
B	08/15/2002 - 01/28/2004	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	07/13/2001 - 07/02/2002	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT
B	10/06/1999 - 07/10/2001	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	10/08/1996 - 09/27/1999	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	04/29/1996 - 08/28/1996	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH

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
11/2023 - Present	Buck Wealth Strategies, LLC	Investment Advisor Representative	Y	Denver, CO, United States
11/2023 - Present	E.A. Buck Financial Services	Financial Advisor	Y	Denver, CO, United States
01/2015 - Present	LDT Enterprises, Inc	Manager	Y	Rio Rancho, NM, United States
10/1995 - Present	INSURANCE NETWORK, INC.	OTHER - OWNER/PRESIDENT	Y	RIO RANCHO, NM, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2023 - 11/2023	Portside Wealth Group	Investment Advisor Representative	Y	Provo, UT, United States
09/2017 - 11/2023	National Gold Consultants	Solicitor	Y	Rio Rancho, NM, United States
09/2016 - 11/2023	Rare Coins of New Hampshire	Solicitor	Y	RIO RANCHO, NM, United States
11/2000 - 11/2023	OXFORD WEALTH ADVISORS, LLC	MANAGING MEMBER	Y	RIO RANCHO, NM, United States
04/2020 - 06/2023	TownSquare Capital	Investment Advisor Rep	Y	Rio Rancho, NM, United States
01/2018 - 12/2021	The Church of Jesus Christ of Latter Day Saints	Minister/Bishop	N	Albuquerque, NE, United States
03/2014 - 04/2020	HORTER INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, United States
10/2012 - 03/2017	Society For Financial Awareness	Member	Y	Rio Rancho, NM, United States
02/2015 - 09/2016	US GOLD AND SILVER ADVISORS, INC.	SOLICITOR	Y	RIO RANCHO, NM, 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) INSURANCE NETWORK INC.INDEPENDENT LIFE INS AGENCY THAT ACTS AS GA FOR VARIOUS LIFE, HEALTH DIS & FIXED ANNUITY CARRIERS. Your position: SOLE OWNER AND PRESIDENT/MANAGING MEMBER OF LLC Start Date: 10/95 160 HOURS/MO
- 2) E.A. Buck Financial Services - ACTIVITY IS PRIMARILY IN RECRUITING MARKETING & SALES/SERVICE ACTIVITY FOR GROUP & INDIVIDUAL HEALTH AND LIFE PLANS AND TAX DEFERRED FIXED ANNUITIES, AND MANAGED MONEY ACCOUNTS. 120HOURS/MO ARE DUR TRAD HRS. AGENT FOR SEV INCS CO'S SELL FIXED ANN,LIFE,DIS & HLTH INS., Start Date 11/2023
- 3) LDT;I AM MANAGING MEMBER OF LDT Enterprises, LLC OWNS THE BUILDING & LEASES OFFICE SPACE TO DIFFERENT ENTITIES Your position: Manager Start Date: 01/2015
business per month: 1



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
Termination	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:	Individual
Regulatory Action Initiated By:	DEPT. OF INSURANCE - STATE OF NEW MEXICO
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	ADMINISTRATIVE FINE OF \$250.00
Date Initiated:	01/01/1994
Docket/Case Number:	94-222 IN
Employing firm when activity occurred which led to the regulatory action:	INDEPENDENT AGENT WITH BENEFIT PLANNERS, INC.
Product Type:	Insurance
Other Product Type(s):	HEALTH INSURANCE
Allegations:	THE STATE ALLEGED A VIOLATION OF NM INSURANCE CODE NMSA 1978, SECTION 59A-16-24(B). STATING THAT NO PERSON SHALL WILFULLY COLLECT ANY SUM IN EXCESS OF THE PREMIUM. AS SPECIFIED IN THE POLICY. I WAS ASKED BY THE CHAMBER OF COMMERCE TO PERFORM ADMINISTRATIVE FUNCTIONS ON THE CHAMBERS BEHALF FOR MEMBER BENEFITS. (SEE STIPULATION)
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	09/14/1995



Sanctions Ordered:	Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	PAID AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$250.00 AND SIGNED A STIPULATION TO SETTLE.
Broker Statement	(SEE STIPULATION)



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: BENEFICIAL INVESTMENT SERVICES, INC.

Termination Type: Voluntary Resignation

Termination Date: 02/12/2008

Allegations: SALES MATERIALS WERE USED WITHOUT PRINCIPAL REVIEW AND APPROVAL.

Product Type: No Product

Other Product Types:

Firm Statement PRIOR TO THE VOLUNTARY RESIGNATION REQUEST, AN ALLEGATION WAS MADE THAT SALES MATERIALS WERE USED WITHOUT PRINCIPAL REVIEW AND APPROVAL. BEFORE AN INVESTIGATION COULD BE INITIATED LYNN THURGOOD RESIGNED.

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Reporting Source: Individual

Firm Name: BENEFICIAL INVESTMENT SERVICES, INC.

Termination Type: Voluntary Resignation

Termination Date: 02/12/2008

Allegations: SALES MATERIALS WERE USED WITHOUT PRINCIPAL REVIEW AND APPROVAL.

Product Type: No Product

Broker Statement PRIOR TO THE VOLUNTARY RESIGNATION REQUEST, AN ALLEGATION WAS MADE THAT SALES MATERIALS WERE USED WITHOUT PRINCIPAL REVIEW AND APPROVAL. BEFORE AN INVESTIGATION COULD BE INITIATED LYNN THURGOOD RESIGNED.



End of Report

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