



IAPD Report

GEOFFREY DOUGLAS LIDDY

CRD# 3106882

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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

GEOFFREY DOUGLAS LIDDY (CRD# 3106882)

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 **12/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WESTPARK CAPITAL, INC.	CRD# 39914	03/05/2025
IA	STAR WEALTH ADVISORS	CRD# 332344	08/20/2025

QUALIFICATIONS

This representative is currently registered in **1** 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	WESTPARK CAPITAL, INC.	39914	Delray Beach, FL	03/12/2025 - 08/13/2025
B	GEOFFREY RICHARDS SECURITIES CORP.	120007	HYPOLUXO, FL	06/17/2002 - 03/04/2019
IA	GEOFFREY RICHARDS SECURITIES CORP.	120007	HYPOLUXO, FL	09/14/2005 - 09/07/2018

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
Regulatory Event	1
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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STAR WEALTH ADVISORS**
Main Address: 225 NE MIZNER BLVD
STE 350
BOCA RATON, FL 33432
Firm ID#: 332344

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/20/2025

Branch Office Locations

STAR WEALTH ADVISORS
225 NE MIZNER BLVD
STE 350
BOCA RATON, FL 33432

Employment 2 of 2

Firm Name: **WESTPARK CAPITAL, INC.**
Main Address: 535 5TH AVE
22ND FLOOR
NEW YORK, NY 10017
Firm ID#: 39914

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/05/2025
B	FINRA	General Securities Principal	Approved	04/09/2025
B	FINRA	Investment Banking Representative	Approved	05/30/2025
B	California	Agent	Approved	06/10/2025
B	Florida	Agent	Approved	03/06/2025



Qualifications

Regulator		Registration	Status	Date
B	New York	Agent	Approved	04/09/2025

Branch Office Locations

WESTPARK CAPITAL, INC.
225 NE MIZNER BLVD
SUITE 530
BOCA RATON, FL 33432






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 3 principal/supervisory exams, 5 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/08/2025
	Municipal Securities Principal Examination (S53)	Series 53	02/10/2003
	Financial and Operations Principal Examination (S27)	Series 27	01/30/2002

General Industry/Product Exams

	Exam	Category	Date
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	05/30/2025
	Securities Industry Essentials Examination (SIE)	SIE	03/04/2025
	General Securities Representative Examination (S7TO)	Series 7TO	02/28/2025
	Limited Representative-Equity Trader Exam (S55)	Series 55	11/08/2003
	General Securities Representative Examination (S7)	Series 7	09/30/1998

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	03/11/2025
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/13/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/2003



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	03/12/2025 - 08/13/2025	WESTPARK CAPITAL, INC.	CRD# 39914	Delray Beach, FL
B	06/17/2002 - 03/04/2019	GEOFFREY RICHARDS SECURITIES CORP.	CRD# 120007	HYPOLUXO, FL
IA	09/14/2005 - 09/07/2018	GEOFFREY RICHARDS SECURITIES CORP.	CRD# 120007	HYPOLUXO, FL
B	11/12/2001 - 05/06/2002	STOCK DEPOT, INC.	CRD# 31228	BOCA RATON, FL
B	10/01/1998 - 10/04/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
08/2025 - Present	STAR WEALTH ADVISORS	Registered Investment Adviser	Y	BOCA RATON, FL, United States
02/2025 - Present	WestPark Capital, Inc.	Registered Representative	Y	Boca Raton, FL, United States
02/2022 - Present	Scaled Strategies Capital LLC	Managing Partner	N	Coral Springs, FL, United States
03/2019 - 03/2022	Lidz Enterprises Corp.	President	N	Delray Beach, FL, United States
02/2002 - 02/2019	Geoffrey Richards Securities Corp	PRESIDENT	Y	Hypoluxo, 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.

1. SCALED STRATEGIES CAPITAL LLC; POSITION: MANAGING PARTNER NATURE: COMPANY IS INVOLVED IN THE RESEARCH AND DEVELOPMENT OF AN ALGORITHMIC TRADING VEHICLE INVESTMENT RELATED: YES ; NUMBER OF HOURS: 0 ; SECURITIES TRADING HOURS: 0 ; START DATE: 02/01/2022; ADDRESS: 4450 NW 126TH AVE, STE 108, CORL SPRINGS, FL 33065 DESCRIPTION: PASSIVE OWNER WHO AIDED IN CONCEPTUAL DESIGN, ARCHITECTURE AND DEVELOPMENT OF AN ALGORITHMIC TRADING VEHICLE 2. Star Wealth Advisors. Investment Related. 2701 Cambridge Ct. Suite 216 Auburn Hills, MI 48326. RIA. Advisor. Advisor. 8/13/25. 40 hours/month. 2 hours. Registered Investment Advisor.



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
Customer Dispute	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:	FLORIDA DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	07/25/2000
Docket/Case Number:	2884-S-11/99
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES, INC.
Product Type:	Commodity Option(s)
Other Product Type(s):	OIL AND GAS PRODUCT
Allegations:	OUTSIDE BUSINESS ACTIVITY VIOLATION 3E-600.013(2)(H),FAC, VIOLATION NASD CONDUCT RULE 3030.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	08/01/2000
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	NA
Sanction Details:	NA



Regulator Statement NA

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Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA DEPARTMENT OF BANKING & FINANCE

Sanction(s) Sought: Cease and Desist

Other Sanction(s) Sought:

Date Initiated: 05/03/2000

Docket/Case Number: ADMIN PROC. NUMBER 2884-5 - 11/99

Employing firm when activity occurred which led to the regulatory action: PRUDENTIAL SECURITIES INCORPORATED

Product Type: No Product

Other Product Type(s):

Allegations: DEPARTMENT ALLEGES THAT MR. LIDDY ENGAGED IN OUTSIDE BUSINESS ACTIVITIES IN THAT HE RECEIVED COMPENSATION FROM A NON-PSI CLIENT, ON TWO OCCASIONS, DURING HIS EMPLOYMENT WITH PSI, FOR SERVICES PROVIDED PRIOR TO HIS EMPLOYMENT WITH PSI.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 08/01/2000

Sanctions Ordered: Cease and Desist/Injunction
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: \$500 FINE PAID ON JULY 24, 2000.



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: PRUDENTIAL SECURITIES, INC.

Allegations: CUSTOMER ALLEGED THAT SHE BELIEVED HER ACCOUNT HAS BEEN INVESTED IMPROPERLY AND NOT ACCORDING TO HER GOALS, OBJECTIVES AND TOLERANCE FOR RISK AS EXPRESSED TO HER REGISTERED REPRESENTATIVE, GEOFFREY LIDDY, WHEN SHE OPENED THE ACCOUNT. WHILE CUSTOMER HAS NOT ALLEGED A SPECIFIC AMOUNT DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$5,000.00. THE BEGINNING AND ENDING TRADE DATES ARE 3/3/00 AND 3/6/00 RESPECTIVELY.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 10/24/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/02/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDDR NO #04-05649.

Date Notice/Process Served: 09/02/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/21/2004

Monetary Compensation Amount: \$9,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES INC.

Allegations:

CUSTOMER ALLEGED THAT SHE BELIEVED HER ACCOUNT HAS BEEN INVESTED IMPROPERLY AND NOT ACCORDING TO HER GOALS, OBJECTIVES AND TOLERANCE FOR RISK AS EXPRESSED TO HER REGISTERED REPRESENTATIVE, GEOFFREY LIDDY, WHEN SHE OPENED THE ACCOUNT. WHILE CUSTOMER HAS NOT ALLEGED A SPECIFIC AMOUNT DAMAGES ARE BELEIVED TO BE IN EXCESS OF \$5,000.00. THE BEGINNING AND ENDING TRADE DATES ARE 3/3/00 AND 3/6/00 RESPECTIVELY.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$0.00

Customer Complaint Information

Date Complaint Received:

10/24/2003

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

09/02/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

NASDDR NO #04-05649

Date Notice/Process Served:

09/02/2004

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

10/21/2004

Monetary Compensation Amount:

\$9,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

BROKER WAS NOT NAMED PERSONALLY IN THE ARBITRATION.



End of Report

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