



## IAPD Report

# GARY LESTER STARK

CRD# 433866

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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

### GARY LESTER STARK (CRD# 433866)

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 **01/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	R.M. STARK & CO., INC.	CRD# 7612	08/08/1994
<b>IA</b>	STARK FINANCIAL ADVISERS, INC.	CRD# 121213	09/19/2002

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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>B</b>	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO	12/08/1988 - 07/19/1994
<b>B</b>	KIDDER, PEABODY & CO. INCORPORATED	7613	ST. LOUIS, MO	10/25/1982 - 12/16/1988
<b>B</b>	PAINE, WEBBER, JACKSON & CURTIS INC.	8174	ST. LOUIS, MO	09/06/1978 - 10/29/1982

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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **R.M. STARK & CO., INC.**  
Main Address: 730 S FEDERAL HWY  
LAKE WORTH BEACH, FL 33460-4955  
Firm ID#: 7612

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	08/08/1994
	FINRA	General Securities Representative	Approved	08/08/1994
	FINRA	General Securities Sales Supervisor	Approved	08/08/1994
	FINRA	Registered Options Principal	Approved	08/08/1994
	FINRA	Municipal Securities Principal	Approved	09/09/1994
	FINRA	Municipal Securities Representative	Approved	09/09/1994
	FINRA	Financial and Operations Principal	Approved	08/29/1995
	FINRA	Investment Banking Representative	Approved	11/03/2009
	FINRA	Operations Professional	Approved	10/17/2011
	FINRA	Securities Trader	Approved	01/04/2016
	FINRA	Securities Trader Principal	Approved	01/05/2016
	FINRA	Investment Banking Principal	Approved	10/01/2018
	Alabama	Agent	Approved	01/07/2026



## Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	06/19/2002
B	Arkansas	Agent	Approved	01/12/2026
B	California	Agent	Approved	01/15/2019
B	Colorado	Agent	Approved	01/30/1995
B	Connecticut	Agent	Approved	06/06/1995
B	District of Columbia	Agent	Approved	01/08/2026
B	Florida	Agent	Approved	08/11/1994
B	Georgia	Agent	Approved	03/02/1995
B	Illinois	Agent	Approved	01/13/2026
B	Massachusetts	Agent	Approved	04/03/1997
B	Michigan	Agent	Approved	01/08/2026
B	Nevada	Agent	Approved	04/22/2019
B	New Jersey	Agent	Approved	01/07/2026
B	New York	Agent	Approved	10/20/1994
B	North Carolina	Agent	Approved	08/29/1995
B	Ohio	Agent	Approved	01/07/2026
B	Pennsylvania	Agent	Approved	06/14/1996
B	Puerto Rico	Agent	Approved	02/21/2019
B	Tennessee	Agent	Approved	01/12/2026



## Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	05/18/1995
B	Washington	Agent	Approved	06/22/1995

## Branch Office Locations

730 S Federal Highway  
Lake Worth Beach, FL 33460

## Employment 2 of 2

Firm Name: **STARK FINANCIAL ADVISERS, INC.**  
Main Address: 16950 U.S. HIGHWAY 441 NORTH  
OKEECHOBEE, FL 34972  
Firm ID#: 121213

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/19/2002
IA	Georgia	Investment Adviser Representative	Approved	05/26/2023
IA	North Carolina	Investment Adviser Representative	Approved	09/26/2007

## Branch Office Locations

**STARK FINANCIAL ADVISERS, INC.**  
16950 U.S. HIGHWAY 441 NORTH  
OKEECHOBEE, FL 34972











## 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 8 principal/supervisory exams, 10 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	Financial and Operations Principal Examination (S27)	Series 27	08/17/1995
	Registered Options Principal Examination (S4)	Series 4	09/06/1978
	Registered Principal Examination (S40)	Series 40	05/03/1978
	NYSE Branch Manager Examination (S12)	Series 12	04/05/1978

#### General Industry/Product Exams






	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023







## Qualifications

### PASSED INDUSTRY EXAMS

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	06/19/2000
	Foreign Currency Options Examination (S15)	Series 15	03/22/1989
	Interest Rate Options Examination (S5)	Series 5	10/22/1981
	Registered Representative Examination (S1)	Series 1	08/06/1973

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/10/2002
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/24/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/18/1987

### 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	12/08/1988 - 07/19/1994	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	10/25/1982 - 12/16/1988	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	09/06/1978 - 10/29/1982	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	08/14/1974 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	
B	08/09/1973 - 09/26/1974	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

### 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
01/2021 - Present	R.M. Stark & Co., Inc.	FINOP, Principal Financial Officer, Principal Operations Officer, Municipal Securities Principal, Registered Options Principal	Y	Lake Worth Beach, FL, United States
09/2020 - Present	Stark Financial Advisers, Inc.	President	Y	Okeechobee, FL, United States
09/2020 - 12/2020	R.M. Stark & Co., Inc.	FINOP, Principal Financial Officer, Principal Operations Officer, Municipal Securities Principal	Y	Lake Worth Beach, FL, United States
10/2019 - 09/2020	R.M. Stark & Co., Inc.	President & CEO	Y	Lake Worth Beach, FL, United States
10/2019 - 09/2020	Stark Financial Advisers, Inc.	President	Y	Lake Worth Beach, FL, United States
11/2001 - 10/2019	Stark Financial Advisers, Inc.	President	Y	Delray Beach, FL, United States
07/1994 - 10/2019	R.M Stark & Co., Inc.	President & CEO	Y	Delray Beach, FL, 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.

No information reported.



## 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/26/1996
<b>Docket/Case Number:</b>	C07960053
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RM STARK & CO INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD CONDUCT RULE 2110, IN THAT A MEMBER FIRM,ACTING THROUGH GARY L. STARK, ENTERED INTO A LETTER OF INTENT TO ENGAGE IN A FIRM COMMITMENT UNDERWRITING AND, AMONG OTHER THINGS, FAILED TO DISCLOSE TO THE ISSUER IN A TIMELY MANNER THAT THE FIRM WAS PROHIBITED BY ITS RESTRICTION AGREEMENT FROM ENGAGING IN FIRM COMMITMENT UNDERWRITINGS, AND FAILED TO DISCLOSE TO THE DISTRICT 7 STAFF AND THE DBCC, IN CONNECTION WITH THE FIRM'S REQUEST TO AMEND ITS RESTRICTION AGREEMENT TO REMOVE THE PROHIBITION, THAT IT HAD ENTERED INTO THE LETTER OF INTENT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement



**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:**

09/17/1996

**Sanctions Ordered:**

Censure  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, STARK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY.

.....

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:**

06/26/1996

**Docket/Case Number:**

C07960053

**Employing firm when activity occurred which led to the regulatory action:**

RM STARK & CO INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

VIOLATION OF NASD'S RULES OF FAIR PRACTICE.

**Current Status:**

Final

**Resolution:**

Decision & Order of Offer of Settlement

**Resolution Date:**

09/17/1996

**Sanctions Ordered:**

Censure  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

CONSENT WITHOUT ADMITTING OR DEALYING ALLEGATIONS OF COMPLAINT, TO MINIMUM \$5000 FINE AND CENSURE.

**Broker Statement**

COMPLAINT NO. C07960053 WAS FILED ON JUNE 26,1996 AGAINST R.M. STARK & CO., INC ('RMST') AND GARY L. STARK ALLEGING THAT RMST AND MR. STARK HAD VIOLATED THE NASD'S RULES OF FAIR PRACTICE BY ENTERING INTO A PROPOSED LETTER OF INTENT TO DO A FIRM COMMITMENT OFFERING PRIOR TO THE TIME THE NASD HAD APPROVED RMST TO ENGAGE IN FIRM COMMITMENT OFFERINGS. ALTHOUGH RMST AND GARY STARK BELIEVED THE COMPLAINT TO BE WITHOUT MERIT, IN ORDER TO BEST PROTECT THE INTERESTS KOF THE



CUSTOMERS AND PRINCIPALS OF RMST AND AVOID COSTLY AND TIME  
CONSUMING LITIGATION, RMST AND GARY STARK SETTLED THE  
COMPLAINT  
WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN FOR THE  
MINIMUM FINE OF \$5,000 AND CENSURE BY THE NASD.



## End of Report

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