



IAPD Report

Jeffrey David Buck

CRD# 4884887

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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

Jeffrey David Buck (CRD# 4884887)

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 **12/17/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------------------|-------------|------------------|
| B | MADISON AVENUE SECURITIES, LLC | CRD# 23224 | 12/03/2019 |
| IA | BUCK WEALTH STRATEGIES, LLC | CRD# 322138 | 08/29/2022 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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 | AE WEALTH MANAGEMENT, LLC | 282580 | HONOLULU, HI | 12/06/2019 - 01/10/2023 |
| IA | BUCK WEALTH STRATEGIES, LLC | 322138 | DENVER, CO | 08/15/2022 - 08/16/2022 |
| B | PARKLAND SECURITIES, LLC | 115368 | HONOLULU, HI | 08/02/2011 - 12/02/2019 |

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

Employment 1 of 2

Firm Name: **MADISON AVENUE SECURITIES, LLC**
Main Address: 13500 EVENING CREEK DR. N
#555
SAN DIEGO, CA 92128
Firm ID#: 23224

| Regulator | Registration | Status | Date |
|---------------------|-----------------------------------|----------|------------|
| B FINRA | General Securities Principal | Approved | 12/03/2019 |
| B FINRA | General Securities Representative | Approved | 12/03/2019 |
| B Alabama | Agent | Approved | 07/16/2025 |
| B Arizona | Agent | Approved | 01/13/2020 |
| B California | Agent | Approved | 12/04/2019 |
| B Colorado | Agent | Approved | 02/21/2020 |
| B Florida | Agent | Approved | 12/04/2019 |
| B Georgia | Agent | Approved | 07/17/2025 |
| B Hawaii | Agent | Approved | 01/06/2020 |
| B Idaho | Agent | Approved | 04/12/2024 |
| B Illinois | Agent | Approved | 07/15/2025 |
| B Iowa | Agent | Approved | 06/19/2025 |
| B Kansas | Agent | Approved | 07/09/2025 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|--------------|----------|------------|
| B Kentucky | Agent | Approved | 07/17/2025 |
| B Louisiana | Agent | Approved | 07/16/2025 |
| B Maryland | Agent | Approved | 08/26/2025 |
| B Massachusetts | Agent | Approved | 07/17/2025 |
| B Michigan | Agent | Approved | 07/18/2025 |
| B Minnesota | Agent | Approved | 07/16/2025 |
| B Mississippi | Agent | Approved | 07/17/2025 |
| B Missouri | Agent | Approved | 07/11/2024 |
| B Montana | Agent | Approved | 12/03/2019 |
| B Nebraska | Agent | Approved | 07/16/2025 |
| B New Hampshire | Agent | Approved | 07/17/2025 |
| B New Jersey | Agent | Approved | 07/16/2025 |
| B New York | Agent | Approved | 03/02/2020 |
| B North Carolina | Agent | Approved | 07/16/2025 |
| B North Dakota | Agent | Approved | 07/24/2025 |
| B Ohio | Agent | Approved | 04/11/2024 |
| B Oklahoma | Agent | Approved | 07/16/2025 |
| B Oregon | Agent | Approved | 07/23/2025 |
| B South Carolina | Agent | Approved | 07/17/2025 |



Qualifications

| Regulator | Registration | Status | Date |
|-----------------------|--------------|----------|------------|
| B South Dakota | Agent | Approved | 07/16/2025 |
| B Tennessee | Agent | Approved | 06/10/2025 |
| B Texas | Agent | Approved | 01/09/2020 |
| B Utah | Agent | Approved | 05/07/2024 |
| B Virginia | Agent | Approved | 01/10/2020 |
| B Washington | Agent | Approved | 02/20/2020 |
| B Wyoming | Agent | Approved | 04/22/2024 |

Branch Office Locations

MADISON AVENUE SECURITIES, LLC
 55 Merchant Street
 Suite 2100
 Honolulu, HI 96813

MADISON AVENUE SECURITIES, LLC
 2975 Broadmoor Valley Road
 Colorado Springs, CO 80906

Employment 2 of 2

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 Hawaii | Investment Adviser Representative | Approved | 08/29/2022 |

Branch Office Locations

BUCK WEALTH STRATEGIES, LLC
 55 Merchant Street
 Suite 2100
 Honolulu, HI 96813




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



Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
|  General Securities Principal Examination (S24) | Series 24 | 03/11/2005 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 12/15/2004 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 10/02/2006 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/14/2005 |

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 | 12/06/2019 - 01/10/2023 | AE WEALTH MANAGEMENT, LLC | CRD# 282580 | HONOLULU, HI |
| IA | 08/15/2022 - 08/16/2022 | BUCK WEALTH STRATEGIES, LLC | CRD# 322138 | DENVER, CO |
| B | 08/02/2011 - 12/02/2019 | PARKLAND SECURITIES, LLC | CRD# 115368 | HONOLULU, HI |
| IA | 08/02/2011 - 12/02/2019 | SPC | CRD# 110692 | HONOLULU, HI |
| IA | 01/03/2007 - 08/11/2011 | H. BECK, INC. | CRD# 1763 | HONOLULU, HI |
| B | 01/14/2005 - 08/11/2011 | H. BECK, INC. | CRD# 1763 | HONOLULU, HI |

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 |
|-------------------|--|-----------------------------------|--------------------|------------------------------|
| 08/2022 - Present | BUCK WEALTH STRATEGIES, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | DENVER, CO, United States |
| 12/2019 - Present | AE WEALTH MANAGEMENT, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | TOPEKA, KS, United States |
| 12/2019 - Present | MADISON AVENUE SECURITIES, LLC | REGISTERED REPRESENTATIVE | Y | SAN DIEGO, CA, United States |
| 09/2004 - Present | E.A. Buck Insurance DBA E.A. Buck Financial Services | Chief Investment Officer | Y | HONOLULU, HI, United States |
| 08/2014 - 12/2019 | PARKLAND SECURITIES | REGISTERED REPRESENTATIVE | Y | ANN ARBOR, MI, United States |
| 08/2011 - 12/2019 | SPC | INVESTMENT ADVISORY REP | Y | ANN ARBOR, MI, 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.

- 1.) NAME: E.A. Buck Insurance DBA E.A. Buck Financial Services; INV RELATED: YES; ADDRESS: 55 MERCHANT STREET, SUITE 2100 HONOLULU, HI 96813; NATURE: INSURANCE SALES; POSITION: INSURANCE AGENCY-INSURANCE AGENT; START DATE: 2004; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: INSURANCE AGENT
- 2.) MADISON AVENUE SECURITIES, LLC; YES INVESTMENT RELATED; 13500 EVENING CREEK DR. N. SUITE 555, SAN DIEGO, CA 92128; BROKER DEALER; REGISTERED REPRESENTATIVE; START DATE 12/2019; APPROX 160 HRS/MONTH; APPROX 160 HRS/MONTH DURING TRADING; SECURITIES SALES AND SERVICES.
- 3.) NAME: HCEE; INV RELATED: NO; ADDRESS: 126 QUEEN ST #226 HONOLULU, HI 96813; NATURE: NON PROFIT; POSITION: BOARD MEMBER; START DATE: 2009; 2 HOURS/MONTH: 2; TRADING HOURS/MONTH: NO; DUTIES: BOARD MEMBER
- 4.) NAME: AEW; INV RELATED: YES; ADDRESS: 2950 SOUTHWEST MCCLURE RD TOPEKA, KS 66614; NATURE: INVESTMENT ADVICE FOR A FEE; POSITION: IAR; START DATE: 12/2019; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: INVESTMENT ADVISOR REPRESENTATIVE
- 5.) NAME: SEVEN PEAKS LLC; INV RELATED: NO; NATURE: LLC SET UP FOR RENTAL PROPERTY INCOME; POSITION: RENTAL PROPERTY START DATE: 2015 and 2003, CHANGED NAME TO SEVEN PEAKS LLC JANUARY 2021; HOURS/MONTH: 4; TRADING HOURS/MONTH: NO; DUTIES: PERSONAL RENTAL PROPERTY.
- 6.) NAME: EA BUCK ACCOUNTING AND TAX SERVICES LLC; INV RELATED: NO; NATURE: TAX SERVICES; POSITION OWNER; START DATE: JANUARY 2021; HOURS/MONTH: 4
- 7.) Buck Enterprises LLC; Yes Investment Related; 55 Merchant St Suite 2100, Honolulu HI, 96813; Director; State Date 11/21/2020; 0 Hours a Month; 0 Hours during trading; holding company for consolidated tax returns.
- 8.) LTC Pro LLC DBA Federal Benefits Made Simple; Yes Investment Related; 1 Denver Federal Center, Building 45 Entrance E-9, Room 1050, Lakewood CO 80225; Director; Start Date 04/01/2021; 5 Hours a Month; 0 Hours during trading; Investment and Insurance Advisory Business
- 9.) NAME: THE KATIE CHRISTINE BUCK 2020 IRREVOCABLE TRUST ; INV RELATED: NO; NATURE: TRUSTEE; START DATE: 2020
- 10.) Buck Wealth Strategies: Yes Investment Related; 55 Merchant St Suite 2100, Honolulu HI, 96813; Director and IAR; State Date 7/12/2022; 40 Hours a Month; 40 Hours during trading; Registered Investment Adviser engages in asset management services.
- 11.) Buck Financial Services Outer Banks: Investment Related: Yes ; 55 Merchant St Suite 2100, Honolulu HI, 96813; Duties Director; State Date 5/2022; <1 Hours a Month; 40 Hours during trading; Nature: Asset management related to a specific book of business.
- 12.) Name: Buck Financial Services Achieve Retirement; Investment Related: No; Address: 4600 S Syracuse St. Ste 650, Denver CO 80237; Nature of the Business; Ultimate Beneficial Owner; Position: Ultimate Beneficial Owner; Hours Per Week: 1 Hour; Start Date; 08/2025;
- 13.) Name: Buck Private Wealth Group; Investment Related: Yes; Address: 55 Merchant St. Ste 2100, Honolulu, HI 96813; Nature of the Business; Principal Advisor; Position: Owner; Hours Per Week: 10 Hours; Start Date; 08/2025.



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: | H. BECK, INC. |
| Allegations: | Claimant alleges unsuitability, breach of fiduciary duty and negligence related to Centerpointe tenant in common interests offered by ColeCapitalPartners, LLC. Activity occurred July 31, 2007 to November 19, 2019. |
| Product Type: | Real Estate Security |
| Alleged Damages: | \$882,557.00 |
| 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 |
| Docket/Case #: | 23-01926 |
| Filing date of arbitration/CFTC reparation or civil litigation: | 07/31/2023 |

Customer Complaint Information

| | |
|---------------------------------|------------|
| Date Complaint Received: | 08/08/2023 |
| Complaint Pending? | No |



Status: Settled
Status Date: 11/21/2024
Settlement Amount: \$185,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: The Statement of Claim is filed on behalf of ten claimants against four broker-dealers, including Grove Point Investments, LLC, involving the same investment - Centerpointe tenant in common interests offered by Cole Capital Partners, LLC. Claimants allege financial elder abuse, unsuitability, breach of fiduciary duty, and negligence. Grove Point is contesting the claims in full. Activity occurred May 14, 2007 to November 19, 2019.

Product Type: Real Estate Security

Alleged Damages: \$882,557.00

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

Docket/Case #: 23-01926

Filing date of arbitration/CFTC reparation or civil litigation: 07/31/2023

Customer Complaint Information

Date Complaint Received: 08/08/2023

Complaint Pending? No

Status: Settled

Status Date: 11/21/2024

Settlement Amount: \$185,000.00

Individual Contribution Amount: \$0.00

Broker Statement I am not included in the arbitration or claims individually and did not participate in the settlement decision nor was I included in any individual settlement amount. The client (estate owner) made the investment understanding of the risks involved and at no time prior to his passing did he ever make any statements to me regarding any concerns involving the performance of the investment or recommendations involving the investment. I stand behind the recommendations made in 2007 during which time the transaction took place and I believe the claims to be baseless.



End of Report

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