



IAPD Report

STEPHEN DARRELL MOORE

CRD# 721087

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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

STEPHEN DARRELL MOORE (CRD# 721087)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LEIGH BALDWIN & CO., LLC	CRD# 38751	09/20/1999
IA	STONE SECURITIES INC.	CRD# 162909	06/25/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	HUSS SERVICES, INC.	2258	CLARKS SUMMIT, PA	02/18/2004 - 10/29/2010
IA	STONE SECURITIES, INC	127712	CLARKS SUMMIT, PA	12/08/2003 - 12/31/2006
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	02/07/1997 - 09/30/1999

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	3



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

Employment 1 of 2

Firm Name: **LEIGH BALDWIN & CO., LLC**

Main Address: 112 ALBANY STREET
CAZENOVIA, NY 13035

Firm ID#: 38751

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/20/1999
B FINRA	General Securities Principal	Approved	03/28/2000
B FINRA	Registered Options Principal	Approved	05/27/2002
B FINRA	Operations Professional	Approved	12/14/2011
B Connecticut	Agent	Approved	11/17/1999
B Delaware	Agent	Approved	06/04/2003
B Florida	Agent	Approved	11/22/1999
B Georgia	Agent	Approved	11/17/1999
B Maryland	Agent	Approved	11/17/1999
B Massachusetts	Agent	Approved	09/06/2011
B Michigan	Agent	Approved	01/07/2015
B New Hampshire	Agent	Approved	08/02/2012
B New Jersey	Agent	Approved	11/17/1999



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	09/20/1999
B	North Carolina	Agent	Approved	11/18/1999
B	Pennsylvania	Agent	Approved	09/20/1999
B	Texas	Agent	Approved	11/17/1999
B	Virginia	Agent	Approved	11/18/1999
B	Wyoming	Agent	Approved	03/18/2021

Branch Office Locations

LEIGH BALDWIN & CO., LLC

Goodland, FL

Employment 2 of 2

Firm Name: **STONE SECURITIES INC.**

Main Address: 281 E. GROVE ST
CLARKS GREEN, PA 18411

Firm ID#: 162909

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	06/25/2012

Branch Office Locations

STONE SECURITIES INC.

281 E. GROVE ST
CLARKS GREEN, PA 18411



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

Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	05/25/2002
 General Securities Principal Examination (S24)	Series 24	03/27/2000

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	08/04/1988
 Interest Rate Options Examination (S5)	Series 5	12/11/1982
 General Securities Representative Examination (S7)	Series 7	12/20/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/1981



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	02/18/2004 - 10/29/2010	HUSS SERVICES, INC.	CRD# 2258	CLARKS SUMMIT, PA
IA	12/08/2003 - 12/31/2006	STONE SECURITIES, INC	CRD# 127712	CLARKS SUMMIT, PA
B	02/07/1997 - 09/30/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/01/1994 - 02/13/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/01/1991 - 07/06/1994	WHEAT, FIRST SECURITIES, INC.	CRD# 6124	CHARLOTTE, NC
B	10/12/1990 - 01/01/1991	BUTCHER & SINGER INC.	CRD# 6517	
B	02/03/1981 - 10/15/1990	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	12/31/1980 - 04/10/1981	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
01/2004 - Present	STONE SECURITIES CORP.	INVESTMENT ADVISOR	Y	CLARKS SUMMIT, PA, United States
09/1999 - Present	LEIGH BALDWIN & CO., L.L.C.	ACCOUNT EXECUTIVE	Y	CAZENOVIA, NY, 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.

BUILDING OWNER - RENTAL INCOME. 2 HRS/MO

FIXED INSURANCE - 1 HOUR/YR - NO OWNERSHIP;

25% OWNER REHAB-BOOKINGS.COM; NON PROFIT WEBSITE TO FIND AVAILABILITY - 2 HRS PER MONTH DURING NON MARKET HOURS- NON INVESTMENT RELATED.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Leigh Baldwin & Co., LLC
Allegations:	MISREPRESENTATIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THE SALE OF VARIOUS SECURITIES; 2/2007-2011
Product Type:	Equity-OTC
Alleged Damages:	\$75,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02164
Filing date of arbitration/CFTC reparation or civil litigation:	08/12/2015

Customer Complaint Information

Date Complaint Received:	08/19/2015
Complaint Pending?	No



Status:	Settled
Status Date:	09/22/2016
Settlement Amount:	\$40,000.00
Individual Contribution Amount:	\$7,500.00
Broker Statement	Approximately 8 years after investing into an approved hedge fund that I started in 2002, I was named in an arbitration based on the primary fact that the hedge fund declined in value in 2008-2009, during the worst financial crisis in 70 years. The client, who remained a client throughout, was pursued to initiate the claim with the understanding that the claim did not involve me. After providing close to 30,000 pages of documents, going back 14 years and responding to countless legal motions and frivolous charges, I made a business decision to settle the case, without admitting to any guilt. My individual contribution to the settlement was \$7,500 which is 10 cents on the dollar to the claim.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Leigh Baldwin & Co., LLC
Allegations:	MISREPRESENTATIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THE SALE OF VARIOUS SECURITIES; 1/2002-2014
Product Type:	Equity-OTC
Alleged Damages:	\$300,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02226
Filing date of arbitration/CFTC reparation or civil litigation:	08/26/2015

Customer Complaint Information

Date Complaint Received:	09/03/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/22/2016
Settlement Amount:	\$28,750.00
Individual Contribution Amount:	\$0.00
Broker Statement	Approximately 14 years after investing into an approved hedge fund that I started in 2002, my firm was named in an arbitration based on the primary fact that the



hedge declined in value in 2008-2009, during the worst financial crisis in 70 years. The highly accredited client was pursued to initiate the claim only against the firm to avoid the risk of being contractually being liable for all legal fees. After providing close to 30,000 pages of documents, going back 14 years and responding to countless legal motions and frivolous charges, I made a business decision to settle the case, without admitting any guilt. My individual contribution to the settlement was zero dollars.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LEIGH BALDWIN & CO., LLC
Allegations:	MISREPRESENTATIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THE SALE OF VARIOUS SECURITIES; 6/2008-2013
Product Type:	Equity-OTC
Alleged Damages:	\$264,000.00
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 #:	15-01045
Filing date of arbitration/CFTC reparation or civil litigation:	06/05/2015

Customer Complaint Information

Date Complaint Received:	06/05/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/22/2016
Settlement Amount:	\$68,750.00
Individual Contribution Amount:	\$61,250.00
Broker Statement	Approximately 7 years after investing into an approved hedge fund that I started in 2002, I was named in an arbitration based on the primary fact that the hedge fund declined in value in 2008-2009, during the worst financial crisis in 70 years. The long-time client initially pursued the claim with at least one attorney that rejected the merits of the case before finally finding someone to take the case. After providing close to 30,000 pages of documents, going back 14 years and responding to countless legal motions and frivolous charges, I made a business decision to settle the case, without admitting any guilt. My individual contribution to the settlement was \$61,250 which is less than 25 cents on the dollar to the claim.



End of Report

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