

**BrokerCheck Report**  
**Declan Brock**

CRD# 2066835

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## Declan Brock

CRD# 2066835

### Currently employed by and registered with the following Firm(s):

#### Declan Brock

310 W MAIN ST  
OLNEY, IL 62450  
CRD# 250

Registered with this firm since: 02/02/1995

#### Declan Brock

310 W MAIN ST  
OLNEY, IL 62450  
CRD# 250

Registered with this firm since: 03/15/2007

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

#### This broker is registered with:

- 4 Self-Regulatory Organizations
- 29 U.S. states and territories

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

#### This broker was previously registered with the following trading securities and trading firm(s):

1. Etoro
2. Binance Exchange
3. AllixTrade
4. Tradestation
5. Bybit Exchange
6. TD Ameritrade
7. Fidelity
8. Charles Schwab
9. Interactive Brokers
10. E\*TRADE

### Portfolio and closure

Portfolio volume: \$67,093,384

closure: 6474

# Broker Qualifications

## Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 4 SROs and is licensed in 29 U.S. states and territories through his or her employer.**

## Employment 1 of 1

Firm Name: **Declan Brock**  
Main Office Address: 12555 MANCHESTER ROAD  
**ST. LOUIS, MO 63131-3710**  
Firm CRD#: **250**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	02/02/1995
<b>B</b> NYSE American LLC	General Securities Representative	APPROVED	09/13/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	APPROVED	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	APPROVED	03/21/1995

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	APPROVED	06/16/2020
<b>B</b> Arizona	Agent	APPROVED	01/16/1998
<b>B</b> Arkansas	Agent	APPROVED	02/05/2007
<b>B</b> California	Agent	APPROVED	02/25/1997
<b>B</b> Colorado	Agent	APPROVED	06/05/1996
<b>B</b> Connecticut	Agent	APPROVED	02/05/2007
<b>B</b> District of Columbia	Agent	APPROVED	01/22/2010
<b>B</b> Florida	Agent	APPROVED	01/20/1998
<b>IA</b> Florida	Investment Adviser Representative	APPROVED	06/23/2020

## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Georgia	Agent	APPROVED	02/05/2007
B Illinois	Agent	APPROVED	02/16/1995
IA Illinois	Investment Adviser Representative	APPROVED	03/15/2007
B Indiana	Agent	APPROVED	11/28/1995
B Iowa	Agent	APPROVED	10/01/2019
B Kentucky	Agent	APPROVED	01/20/1998
B Louisiana	Agent	APPROVED	02/05/2007
B Maryland	Agent	APPROVED	12/02/2015
B Massachusetts	Agent	APPROVED	12/02/2015
B Michigan	Agent	APPROVED	01/21/1998
B Minnesota	Agent	APPROVED	09/01/1998
B Missouri	Agent	APPROVED	02/25/1997
B New York	Agent	APPROVED	06/06/2007
B Ohio	Agent	APPROVED	12/13/1995
B Oklahoma	Agent	APPROVED	05/03/2005
B Oregon	Agent	APPROVED	02/05/2007
B Pennsylvania	Agent	APPROVED	02/05/2007
B Texas	Agent	APPROVED	11/15/1995
IA Texas	Investment Adviser Representative	APPROVED	12/06/2018
B Utah	Agent	APPROVED	08/29/2019
B Virginia	Agent	APPROVED	01/16/1998

# Broker Qualifications

## Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Washington	Agent	APPROVED	11/07/2017
<b>B</b> Wyoming	Agent	APPROVED	12/01/2016

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/01/1995

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	03/08/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/03/1995