

## BrokerCheck Report

# SEAN MORGAN STORM BOSWICK

CRD# 2491980

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**SEAN M. BOSWICK**

CRD# 2491980

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

- B BROCK SECURITIES LLC**  
CRD# 122156  
NEW YORK, NY  
12/2011 - 05/2021
- B ECHOTRADE LLC**  
CRD# 42239  
PHOENIX, AZ  
02/2010 - 12/2011
- B BROCK SECURITIES LLC**  
CRD# 122156  
NEW YORK, NY  
09/2009 - 03/2010

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Termination	1
Judgment/Lien	3

## 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 broker is not currently registered.



## 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, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/30/2019
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/21/1994

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/11/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 12/2011 - 05/2021	BROCK SECURITIES LLC	122156	NEW YORK, NY
<b>B</b> 02/2010 - 12/2011	ECHOTRADE LLC	42239	PHOENIX, AZ
<b>B</b> 09/2009 - 03/2010	BROCK SECURITIES LLC	122156	NEW YORK, NY
<b>B</b> 07/1996 - 03/2003	SELIGMAN ADVISORS, INC.	840	BOSTON, MA
<b>B</b> 06/1994 - 05/1996	GOLDMAN, SACHS & CO.	361	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
12/2011 - Present	BROCK SECURITIES LLC	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, United States
03/2010 - Present	LIONS PATH CAPITAL	MANAGING MEMBER	Y	NEW YORK, NY, United States
12/2008 - Present	BROCK CAPITAL	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. BROCK CAPITAL, NEW YORK, NY  
SR. MANAGING DIRECTOR, INVESTMENT COMMITTEE  
MERCHANT BANKING, PRIVATE EQUITY, REVIEW POTENTIAL INVESTMENTS  
12-15 HRS/MO, 0 DURING MKT HRS  
ISU (not investment related) France, University lecturer,2108, 0 hrs during trading hours

## Registration and Employment History



### Other Business Activities, continued

KOD (Advisor/Consultant including capital intro), Canada, Restaurant, 2005, 4 hrs/mo, 0 hrs/trading

HPG (Advisor including capital intro), Ireland, medical device, 2019, 2 hrs/mo, 0 hrs/trading

Sherbet (Adviser including capital intro), UK, Taxi Co, 2020, 2 hrs/mo, 0 hrs/trading

USP (Adviser including capital intro), UK, Film Producer, 2020, 1 hr/mo, 0 hrs/trading

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## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Termination	N/A	1	N/A
Judgment/Lien	3	N/A	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	Brock Securities LLC
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	04/09/2021
<b>Allegations:</b>	Under investigation for Violation of Company Policy relating to Investment Advisory Activities of Associated Persons - FINRA Rule 3280.
<b>Product Type:</b>	No Product



## Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	Gin Boswick
<b>Judgment/Lien Amount:</b>	\$2,132,398.70
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	01/28/2020
<b>Date Individual Learned:</b>	07/22/2020
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Supreme Court of the State of New York
<b>Location of Court:</b>	County of Suffolk
<b>Docket/Case #:</b>	B310853
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	The Firm learned of the judgement by receiving a Notice of Garnishment. While the date of the Notice is March 5, 2020, it was sent to the Firm's old address, then forwarded to the Firm's current offices. However, as a result of the pandemic, the office has been closed. The CCO went to pick up the mail on or about July 17, and that is when he learned of the judgement.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	Davidoff Hutcher & Citron LLP
<b>Judgment/Lien Amount:</b>	\$22,509.29
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	05/21/2019
<b>Date Individual Learned:</b>	06/24/2019
<b>Type of Court:</b>	City Court
<b>Name of Court:</b>	Civil Court of the City of New York
<b>Location of Court:</b>	New York, New York



**Docket/Case #:** G15033  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Disagreement over legal fees related to a divorce case.

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### Disclosure 3 of 3

**Reporting Source:** Broker  
**Judgment/Lien Holder:** Keryn Limmer  
**Judgment/Lien Amount:** \$29,713.08  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 09/30/2017  
**Date Individual Learned:** 09/30/2017  
**Type of Court:** New York City Family Court  
**Name of Court:** New York City Family Court  
**Location of Court:** New York, New York  
**Docket/Case #:** F4562716  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Mr. Boswick has been paying child support and had fallen behind. Arrears were calculated and resolved in court. Payments are on-going as per NY Case Identifier: PA18094K1.

## End of Report



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