

**ADMINISTRATIVE PROCEEDING**

**SECURITIES COMMISSIONER OF SOUTH CAROLINA**

**IN THE MATTER OF:** )  
 )  
**THOMAS JOSEPH BUCK** )  
**CRD # 1024868,** )  
 )  
Respondent. )

**RULE TO SHOW CAUSE**  
**File Number 15055**

**WHEREAS,** Respondent Thomas Joseph Buck (the "Respondent") CRD #1024868, at all times material herein, was registered with the State of South Carolina as a broker-dealer agent pursuant to S.C. Code Ann. § 35-1-406; and

**WHEREAS,** the Financial Industry Regulatory Authority ("FINRA") is a self-regulatory organization, and during the relevant time period, Respondent was a member of FINRA, and



STATE OF SOUTH CAROLINA  
OFFICE OF THE ATTORNEY GENERAL  
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND  
AFFIDAVIT OF COMPLIANCE

Filed Number 1965

State of South Carolina

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