

**Firm Brochure Supplement
(Form ADV - Part 2B)**

**LBK FINANCIAL, LLC
IARD # 331286**

51 Parsippany Road
Whippany, New Jersey 07981

(201) 602-4705

Supervised Person(s)
Daren O'Connor, Principal (CRD# 4292482)

BROCHURE SUPPLEMENT, June 2024

This brochure supplement provides information about the investment advisory representatives that supplements LBK Financial LLC, ("LBK Financial") brochure. You should have received a copy of that brochure. Please contact LBK Financial at (201) 602-4705 if you did not receive LBK Financial's brochure or if you have any questions about the content of this supplement.

Additional information about the above-referenced Supervised Persons is available on the SEC's website at www.adviserinfo.sec.gov. SEC or state registration does not and should not imply any certain level of skill or training.

Daren O'Connor

Item 2. Educational Background and Business Experience

Born: 1964

Post-Secondary Education

Lycoming College, B.A.. Accounting, 1986

Business Background

| | |
|---|--------------------|
| LBK Financial LLC | 11/2023 to present |
| Retired | 02/2022 to 11/2023 |
| Director, Head of Retail Surveillance, Citigroup Inc. | 11/2015 to 02/2022 |
| Director, Head of Compliance Advisory, Barclays Capital Inc | 08/2012 to 11/2015 |
| Vice President, Regional Compliance Manager, Goldman Sachs & Co. | 09/2008 to 08/2012 |
| Vice President, Compliance Testing, Private Wealth, Goldman Sachs & Co. | 10/2000 to 09/2008 |
| Supervising Investigator, Bureau of Securities, State of New Jersey | 10/1987 to 10/2000 |
| Investigator, Division of Gaming Enforcement, State of New Jersey | 07/1986 to 10/1987 |

Item 3. Disciplinary Information

Mr. O'Connor ***has not been*** convicted, pled guilty or nolo contendere (“no contest”), been named, charged or been the subject of any Civil or Criminal order or judgment by any court of competent jurisdictions, SEC, Federal Regulatory Agency, State Regulatory Agency, Foreign Financial Regulatory Authority or any Self-Regulatory Organization (e.g., FINRA) for the any of the following offenses:

- investments or investment related business;
- fraud, false statements or omissions;
- violation of any investment related statute or regulation or SRO rules;
- wrongful taking of property, bribery, perjury, forgery, counterfeiting;
- extortion or conspiracy to commit any of these offenses.

Mr. O'Connor ***is not*** the subject of any pending matters in connection with any of the above-identified offenses. and there are no other events material to a client or perspective client’s evaluation of our advisory disciplinary background to disclose

Item 4. Other Business Activities

Mr. O'Connor is not engaged in any other business activities.

Item 5. Additional Compensation

Mr. O'Connor does not receive an economic benefit for providing advisory services from someone that is not a client of LBK Financial.

Item 6. Supervision

Daren O'Connor, as Principal and CCO of LBK Financial, is generally responsible for supervision. Mr. O'Connor monitors the firm's advice in an effort to ensure that investments are suitable for individual clients and consistent with their individual needs, goals, objectives, and risk tolerance, as well as any restrictions requested by LBK Financial..

Item 7. Requirements for State-Registered Advisers

A. Daren O'Connor has not been involved in the following events below:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500 involving any of the following:
 - a) an investment or an investment related business or activity
 - b) fraud, false statement(s), or omissions
 - c) theft, embezzlement, or other wrongful taking of property
 - d) bribery, forgery, counterfeiting, o extortion, or
 - e) dishonest, unfair or unethical practices
2. An award or otherwise being found liable in a civil, self regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment related business or activity
 - b) fraud, false statement(s), or omissions
 - c) theft, embezzlement, or other wrongful taking of property
 - d) bribery, forgery, counterfeiting, o extortion, or
 - e) dishonest, unfair or unethical practices

B. Daren O'Connor has not been the subject of a bankruptcy petition.

LBK Financial, LLC (#331286)

June 2024

Page 4