

BrokerCheck Report

THOMAS EDWARD CORRIGAN

CRD# 1015196

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

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:
 - o 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
 - o 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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**THOMAS E. CORRIGAN**

CRD# 1015196

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

IA REGISTER FINANCIAL ADVISORS, LLC
 Alpharetta, GA
 CRD# 143884
 Registered with this firm since: 02/07/2012

B REGISTER FINANCIAL ASSOCIATES, INC.
 3500 LENOX ROAD
 SUITE 1700
 ATLANTA, GA 30326
 CRD# 30568
 Registered with this firm since: 01/03/2012

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:

- 1 Self-Regulatory Organization
- 16 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 securities firm(s):

IA J.P. MORGAN SECURITIES LLC
 CRD# 79
 NEW YORK, NY
 12/2004 - 01/2012

B J.P. MORGAN SECURITIES LLC
 CRD# 79
 ATLANTA, GA
 11/2004 - 01/2012

IA FAHNESTOCK ASSET MANAGEMENT
 CRD# 249
 NEW YORK, NY
 10/2004 - 11/2004

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
Regulatory Event	1



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 1 SRO and is licensed in 16 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **REGISTER FINANCIAL ADVISORS, LLC**
 Main Office Address: **3500 LENOX ROAD
 SUITE 1700
 ATLANTA, GA 30326**
 Firm CRD#: **143884**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	02/07/2012

Branch Office Locations

Alpharetta, GA

Employment 2 of 2

Firm Name: **REGISTER FINANCIAL ASSOCIATES, INC.**
 Main Office Address: **3500 LENOX ROAD
 SUITE 1700
 ATLANTA, GA 30326**
 Firm CRD#: **30568**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/03/2012

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/03/2012



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/03/2012
B	Colorado	Agent	Approved	02/20/2013
B	Connecticut	Agent	Approved	01/03/2012
B	Florida	Agent	Approved	03/19/2012
B	Georgia	Agent	Approved	01/03/2012
B	Maryland	Agent	Approved	01/04/2012
B	Massachusetts	Agent	Approved	01/03/2012
B	Michigan	Agent	Approved	01/08/2019
B	New Jersey	Agent	Approved	01/03/2012
B	New York	Agent	Approved	01/03/2012
B	North Carolina	Agent	Approved	01/09/2012
B	Pennsylvania	Agent	Approved	01/03/2012
B	South Carolina	Agent	Approved	01/03/2012
B	Tennessee	Agent	Approved	01/03/2012
B	Texas	Agent	Approved	01/04/2021

Branch Office Locations

REGISTER FINANCIAL ASSOCIATES, INC.
 3500 LENOX ROAD
 SUITE 1700
 ATLANTA, GA 30326



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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/17/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/22/1993
B Uniform Securities Agent State Law Examination	Series 63	02/10/1982

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/.

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
IA 12/2004 - 01/2012	J.P. MORGAN SECURITIES LLC	79	ATLANTA, GA
B 11/2004 - 01/2012	J.P. MORGAN SECURITIES LLC	79	ATLANTA, GA
IA 10/2004 - 11/2004	FAHNESTOCK ASSET MANAGEMENT	249	ATLANTA, GA
B 01/2003 - 11/2004	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 09/1984 - 01/2003	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 04/1988 - 04/1995	OPPENHEIMER & CO., INC.	630	
B 10/1981 - 08/1984	MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC.	7908	

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	REGISTER FINANCIAL ADVISORS, LLC	Investment Adviser Representative	Y	Atlanta, GA, United States
12/2011 - Present	REGISTER FINANCIAL ASSOCIATES, INC.	Registered Representative	Y	Atlanta, GA, 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. Register Financial Advisors LLC, Investment related, 3500 Lenox Rd., Ste 1700, Atlanta GA 30326, Nature of business: Financial Services, Investment Advisor: Provide Advisor services to clients, Started 1/1/2012, 40hrs/month, about 20hrs/month during securities trading hours.
2. Fulton County Republican Party, Non-Investment Related, 981 Canton St. Suite 200B, Roswell, GA 30075, Nature of business: To elect conservative candidates to municipal and county positions, Trustee started 10/8/2023, 2 to 3 hours per month outside of securities trading hours.

Registration and Employment History



Other Business Activities, continued

Trustees shall maintain complete records and accounts of all expenditures and investments of the FCRP Trust which entries will be made in accordance with the modified cash basis method of accounting.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/24/1987
Docket/Case Number:	87-0052
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/24/1987
Sanctions Ordered:	Censure

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

10/28/87-CBOE DECISION ACCEPTING OFFER OF SETTLEMENT IN THE MATTER OF THOMAS E. CORRIGAN; FILE NO. 87-0052. THIS PROCEEDING WAS INSTITUTED BY THE BUSINESS CONDUCT COMMITTEE OF THE CBOE AS
A RESULT OF AN INVESTIGATION BY THE STAFF OF THE EXCHANGE, WHICH INDICATED THAT THERE WAS PROBABLE CAUSE FOR FINDING A VIOLATION WITHIN THE DISCIPLINARY JURISDICTION OF THE EXCHANGE. IN SUBMITTING THIS OFFER OF SETTLEMENT, THE RESPONDENT NEITHER ADMITS NOR DENIES THE VIOLATIONS ALLEGED IN THE STATEMENT OF CHARGES AND ANY ANSWER TO THE CONTRARY IS DEEMED TO BE WITHDRAWN. ON THE BASIS OF THE STATEMENT OF CHARGES AND OFFER
OF SETTLEMENT, THE COMMITTEE HAS DETERMINED TO ACCEPT THE RESPONDENT'S OFFER OF SETTLEMENT BASED UPON ITS FINDING OF THE
FOLLOWING FACTS: DURING ALL RELEVANT PERIODS HEREIN, THE RESPONDENT, THOMAS E. CORRIGAN, WAS REGISTERED WITH THE EXCHANGE TO TRANSACT BUSINESS ON THE EXCHANGE IN ACCORDANCE
WITH EXCHANGE RULES AS A REGISTERED REPRESENTATIVE OF OPPENHEIMER CO., INC., AN EXCHANGE MEMBER ORGANIZATION. DURING
THE APPROXIMATE PERIOD FROM IN OR ABOUT APRIL 1985 THROUGH IN OR ABOUT JANUARY 1986, CORRIGAN EFFECTED NUMEROUS STOCK AND OPTION TRANSACTIONS ON A DISCRETIONARY BASIS FOR A PUBLIC CUSTOMER'S ACCOUNT WITHOUT THE PRIOR WRITTEN AUTHORIZATION FROM
THE PUBLIC CUSTOMER AND THE PRIOR WRITTEN APPROVAL BY OPPENHEIMER. THE COMMITTEE HAS DETERMINED TO ACCEPT THE RESPONDENT'S OFFER OF SETTLEMENT BASED UPON ITS MAKING THE FOLLOWING CONCLUSIONS: THE ACTS, PRACTICES AND CONDUCT DESCRIBED ABOVE CONSTITUTE VIOLATIONS OF EXCHANGE RULES 4.1 AND
9.10(a) BY CORRIGAN. WITH DUE REGARD FOR THE PARTICULAR FACTS OF THIS MATTER, THE COMMITTEE BELIEVES IT APPROPRIATE TO ACCEPT THE RESPONDENT'S OFFER OF SETTLEMENT WHEREIN HE CONSENTS TO A
CENSURE FOR THE CONDUCT DESCRIBED ABOVE. IN ASSESSING THE PENALTY, THE COMMITTEE CONSIDERS THE RESPONDENT'S PAYMENT OF \$5,000 TOWARDS OPPENHEIMER'S \$6,000 SETTLEMENT WITH THE PUBLIC CUSTOMER REFERRED TO ABOVE AND *See FAQ #1*



Reporting Source:	Broker
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	08/24/1987
Docket/Case Number:	87-0052
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER CO., INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	DURING THE APPROXIMATE PERIOD FROM IN OR ABOUT APRIL 1985 THROUGH IN OR ABOUT JANUARY 1986, CORRIGAN EFFECTED STOCK AND OPTION TRANSACTIONS ON A DISCRETIONARY BASIS FOR A PUBLIC CUSTOMER'S ACCOUNT WITHOUT THE PRIOR WRITTEN AUTHORIZATION FROM THE PUBLIC CUSTOMER AND THE PRIOR WRITTEN APPROVAL BY OPPENHEIMER.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/24/1987
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	THE COMMITTEE BELIEVES IT APPROPRIATE TO ACCEPT THE RESPONDENT'S OFFER OF SETTLEMENT WHEREIN HE CONSENTS TO A CENSURE FOR THE CONDUCT DESCRIBED ABOVE. IN ASSESSING THE PENALTY THE COMMITTEE CONSIDERS THE RESPONDENT'S PAYMENT OF \$5,000 TOWARDS OPPENHEIMER'S \$6,000 SETTLEMENT WITH THE PUBLIC CUSTOMER *SEE FAQ #1*
Broker Statement	THE COMMITTEE BELIEVES IT APPROPRIATE TO ACCEPT THE RESPONDENT'S OFFER OF SETTLEMENT WHEREIN HE CONSENTS TO A CENSURE FOR THE CONDUCT DESCRIBED ABOVE. IN ASSESSING THE PENALTY THE COMMITTEE CONSIDERS THE RESPONDENT'S PAYMENT OF



\$5,000 TOWARDS OPPENHEIMER'S \$6,000 SETTLEMENT WITH THE PUBLIC
CUSTOMER *SEE FAQ #1*

End of Report



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