BrokerCheck Report

JAMES ALLEN THOMPSON

CRD# 1175981

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

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.

JAMES A. THOMPSON

CRD# 1175981

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

B **LPL FINANCIAL LLC**
711 WESTCHESTER AVE, SUITE 305
WHITE PLAINS, NY 10604
CRD# 6413
Registered with this firm since: 09/25/2020

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
- 11 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
08/2021 - 04/2024

IA **MML INVESTORS SERVICES, LLC**
CRD# 10409
SPRINGFIELD, MA
01/2018 - 10/2020

B **MML INVESTORS SERVICES, LLC**
CRD# 10409
ELMSFORD, NY
03/2017 - 10/2020

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? **No**

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 11 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	Corporate Securities Represent	Approved	09/25/2020
B	FINRA	Direct Participation Programs	Approved	09/25/2020
B	FINRA	Direct Participation Programs Principal	Approved	09/25/2020
B	FINRA	General Securities Principal	Approved	09/25/2020
B	FINRA	General Securities Representative	Approved	09/25/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	09/25/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	10/21/2020
B	Connecticut	Agent	Approved	09/25/2020
B	Florida	Agent	Approved	09/25/2020
B	Idaho	Agent	Approved	10/21/2020
B	Massachusetts	Agent	Approved	10/21/2020
B	New Jersey	Agent	Approved	09/25/2020
B	New York	Agent	Approved	09/25/2020

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	10/21/2020
B	Pennsylvania	Agent	Approved	10/30/2020
B	South Carolina	Agent	Approved	11/02/2020
B	Virginia	Agent	Approved	10/21/2020

Branch Office Locations

LPL FINANCIAL LLC
711 WESTCHESTER AVE, SUITE 305
WHITE PLAINS, NY 10604

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 2 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	09/14/1990
B	Direct Participation Programs Principal Examination	Series 39	08/10/1988

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/29/2014
B	Corporate Securities Limited Representative Examination	Series 62	04/20/1990
B	Direct Participation Programs Representative Examination	Series 22	09/14/1984
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	09/23/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/14/1984

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	08/2021 - 04/2024	LPL FINANCIAL LLC	6413	TARRYTOWN, NY
IA	01/2018 - 10/2020	MML INVESTORS SERVICES, LLC	10409	ELMSFORD, NY
B	03/2017 - 10/2020	MML INVESTORS SERVICES, LLC	10409	ELMSFORD, NY
B	01/2010 - 03/2017	MSI FINANCIAL SERVICES, INC.	14251	ELMSFORD, NY
IA	09/2006 - 01/2010	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	TARRYTOWN, NY
B	06/2003 - 01/2010	NATIONAL PLANNING CORPORATION	29604	TARRYTOWN, NY
B	03/2003 - 06/2003	AMERIPROP, INC.	24305	MELVILLE, NY
B	03/1989 - 02/2003	THE THOMPSON GROUP, INC.	21812	WHITE PLAINS, NY
B	09/1983 - 12/1989	NYLIFE SECURITIES INC.	5167	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
09/2020 - Present	LPL Financial, LLC	REGISTERED REPRESENTATIVE	Y	Tarrytown, NY, United States
03/2017 - 09/2020	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ELMSFORD, NY, United States
07/2016 - 09/2020	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	ELMSFORD, NY, United States
01/2010 - 03/2017	METLIFE SECURITIES INC.	REGISTERED REP	Y	SHELTON, CT, United States

Registration and Employment History

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) 09/24/2020 - DBA for LPL Business (entity for LPL business) - Trivium Point Advisory - Investment Related - Tarrytown, NY 10591
2) 09/24/2020 - Trivium Point Consulting - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 09/10/2020 - 100 Hours Per Month/ 6 Hours During Trading
3) 09/24/2020 - Non-Variable Insurance - James Thompson - Investment Related - Tarrytown, NY 10591
4) 09/24/2020 - Tax Prep/Accounting/CPA - Trivium Point Accounting - Investment Related - Tarrytown, NY 10591
5) 06/07/2024 - Agency One - Non-Variable Insurance - Producer - Investment Related - At Reported Business Location(s) -Start Date 01/04/2021 - 15 Hours Per Month/ During Trading

End of Report

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