BrokerCheck Report

THOMAS JOSEPH SHEEHAN JR

CRD# 1221416

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:
  - 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.

THOMAS J. SHEEHAN JR

CRD# 1221416

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

IA **&PARTNERS**
40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
CRD# 3767
Registered with this firm since: 11/29/2006

B **&PARTNERS**
40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
CRD# 3767
Registered with this firm since: 11/08/1995

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
- 27 U.S. states and territories

This broker has passed:

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

Registration History

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

B **PAINEWEBBER INCORPORATED**
CRD# 8174
WEEHAWKEN, NJ
09/1990 - 11/1995

B **PRUDENTIAL-BACHE SECURITIES INC.**
CRD# 7471
NEW YORK, NY
08/1989 - 09/1990

B **THOMSON MCKINNON SECURITIES INC.**
CRD# 829
NEW YORK, NY
09/1987 - 08/1989

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
Termination	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 27 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **&PARTNERS**

Main Office Address: **40 BURTON HILLS BLVD.**
SUITE 350
NASHVILLE, TN 37215

Firm CRD#: **3767**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/08/1995

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/29/1995
IA	Alabama	Investment Adviser Representative	Approved	03/01/2018
B	Arizona	Agent	Approved	09/21/2016
IA	Arizona	Investment Adviser Representative	Approved	10/16/2018
B	Arkansas	Agent	Approved	11/14/2024
B	California	Agent	Approved	06/06/2017
IA	California	Investment Adviser Representative	Approved	12/15/2023
B	Colorado	Agent	Approved	12/03/2018
B	District of Columbia	Agent	Approved	01/24/2024
B	Florida	Agent	Approved	09/24/1997
IA	Florida	Investment Adviser Representative	Approved	03/06/2018
B	Georgia	Agent	Approved	03/17/2021

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	02/19/1997
B	Indiana	Agent	Approved	04/12/2011
B	Kentucky	Agent	Approved	11/28/1995
B	Louisiana	Agent	Approved	02/10/2023
B	Maryland	Agent	Approved	03/20/2002
B	Michigan	Agent	Approved	10/04/2004
B	Mississippi	Agent	Approved	02/05/2014
B	Missouri	Agent	Approved	06/08/2017
B	Montana	Agent	Approved	03/01/2018
IA	Montana	Investment Adviser Representative	Approved	04/09/2018
B	New Jersey	Agent	Approved	06/02/2011
B	New York	Agent	Approved	12/01/2000
B	North Carolina	Agent	Approved	06/26/2017
B	Ohio	Agent	Approved	10/05/2004
B	Oklahoma	Agent	Approved	10/05/2004
IA	Oklahoma	Investment Adviser Representative	Approved	10/12/2018
B	Pennsylvania	Agent	Approved	09/06/2024
B	Tennessee	Agent	Approved	11/22/1995
IA	Tennessee	Investment Adviser Representative	Approved	12/07/2006
B	Texas	Agent	Approved	11/24/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	11/29/2006

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	10/04/2004
B	Wisconsin	Agent	Approved	12/12/2023

Branch Office Locations

&PARTNERS
40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215

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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, 5 general industry/product exams, and 3 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	10/17/1987
B	Municipal Securities Representative Examination	Series 52	10/03/1986
B	Direct Participation Programs Representative Examination	Series 22	04/11/1984
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	12/13/1983

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	12/06/2006
IA	Uniform Investment Adviser Law Examination	Series 65	04/28/1997
B	Uniform Securities Agent State Law Examination	Series 63	01/16/1984

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	09/1990 - 11/1995	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B	08/1989 - 09/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B	09/1987 - 08/1989	THOMSON MCKINNON SECURITIES INC.	829	NEW YORK, NY
B	03/1986 - 09/1987	BRENNER STEED, INC.	7103	
B	12/1983 - 03/1986	JOHN HANCOCK DISTRIBUTORS, INC.	468	

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
11/1995 - Present	WILEY BROS.-AINTREE CAPITAL, LLC	NOT PROVIDED	Y	NASHVILLE, TN, 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.

No information reported.

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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.
   -
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.
   -
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
Regulatory Event	0	1	0
Termination	N/A	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/09/1996
Docket/Case Number:	C05960053
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/09/1996
Sanctions Ordered:	Censure Monetary/Fine $2,500.00

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Other Sanctions Ordered:

Sanction Details:

Regulator Statement	ON OCTOBER 9, 1996, DISTRICT NO. 5 NOTIFIED THOMAS J. SHEEHAN, JR. THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05960053 WAS ACCEPTED; THEREFORE, RESPONDENT SHEEHAN IS CENSURED AND FINED $2,500 - (NASD RULES 2110 AND 2510 (FORMERLY ARTICLE III, SECTIONS 1 AND 15(b) OF THE RULES OF FAIR PRACTICE) - RESPONDENT SHEEHAN EXERCISED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMER AND PRIOR WRITTEN ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY BY HIS MEMBER FIRM). **$2,500.00 PAID ON 10/29/96, INVOICE #96-05-786**

Reporting Source:	Broker
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/09/1996
Docket/Case Number:	C05960053
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THAT I HAD EFFECTED UNAUTHORIZED TRANSACTIONS ON BEHALF OF A NON-DISCRETIONARY CUSTOMER ACCOUNT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/09/1996
Sanctions Ordered:	Censure

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	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	A CENSURE AND A MONETARY FINE IN THE AMOUNT OF $2,500.00
Broker Statement	THE NASD FINDINGS WERE THAT, ON OR ABOUT 10/24/95 AND 10/26/95, I EXECUTED TWO SALE TRANSACTIONS ON BEHALF OF A CUSTOMER ACCOUNT WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE SUBJECT CUSTOMER AND PRIOR WRITTEN ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY BY MY EMPLOYER MEMBER FIRM. THE CUSTOMER DID NOT FILE A COMPLAINT. BASED ON ITS FINDINGS, THE NASD SANCTIONED ME AS DESCRIBED IN ITEM 8.C.

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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

Reporting Source:	Broker
Employer Name:	PAINE WEBBER INC.
Termination Type:	Discharged
Termination Date:	11/01/1995
Allegations:	N/A MAKING TWO UNAUTHORIZED TRADES ON BEHALF OF A CUSTOMER IN A NON-DISCRETIONARY ACCOUNT.
Product Type:	
Other Product Types:	
Broker Statement	NO CUSTOMER COMPLAINT HAS BEEN FILED WHEN SHE OPENED HER ACCOUNT, THE CUSTOMER INSTRUCTED ME THAT, BECAUSE SHE TRAVELED ALOT, IF I EVER HAD TROUBLE REACHING HER BY TELEPHONE I WAS TO REACH HER BY TELEPHONE SEVERAL TIMES (SHE WAS TRAVELING OUT OF THE COUNTRY), I LIQUIDATED HER POSITIONS IN PLAYTEX INC. AND DIGITAL EQUIPMENT. THE PRICE OF BOTH STOCKS DROPPED AFTER THESE TRADES. WHEN SHE RETURNED TO TOWN SHE CALLED TO ASK ABOUT THESE TRADES; SHE SEEMED PLEASED WITH THE DIGITAL TRADE BUT ASKED THAT I RECONFIRM THE PLAYTEX TRADE WITH NO COMMISSION, WHICH I DID. SHE DID NOT WISH TO CANCEL THE TRANSACTIONS AND DID NOT FILE A COMPLAINT. I WROTE HER A LETTER TO DOCUMENT WHAT HAD OCCURRED, AND WAS FIRED BY MY BRANCH MGR. WHEN HE REVIEWED THE LETTER.

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End of Report

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