

## BrokerCheck Report

**Timothy Caso**

CRD# 1849638

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## Timothy Caso

CRD# 1849638

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

**IA SPC**  
Allentown, PA  
CRD# 110692  
Registered with this firm since: 09/26/2022

**B SIGMA FINANCIAL CORPORATION**  
Allentown, PA  
CRD# 14303  
Registered with this firm since: 09/26/2022

## 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:**

- 2 Self-Regulatory Organizations
- 1 U.S. state or territory

**This broker has passed:**

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

### Registration History

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

- B EQUITY SERVICES, INC.**  
CRD# 265  
MEDIA, PA  
05/2020 - 09/2021
- IA ESI FINANCIAL ADVISORS**  
CRD# 265  
MONTPELIER, VT  
05/2020 - 09/2021
- IA MML INVESTORS SERVICES, LLC**  
CRD# 10409  
SPRINGFIELD, MA  
02/2018 - 03/2020

### 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 2 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

#### Employment 1 of 2

Firm Name: **SIGMA FINANCIAL CORPORATION**

Main Office Address: **300 PARKLAND PLAZA  
ANN ARBOR, MI 48103-9508**

Firm CRD#: **14303**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/26/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	09/26/2022

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	09/26/2022

### Branch Office Locations

**SIGMA FINANCIAL CORPORATION**

Allentown, PA

#### Employment 2 of 2

Firm Name: **SPC**

Main Office Address: **300 PARKLAND PLAZA  
ANN ARBOR, MI 48103**

Firm CRD#: **110692**

	U.S. State/ Territory	Category	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	09/26/2022

## Broker Qualifications



### Employment 2 of 2, continued

#### Branch Office Locations

300 PARKLAND PLAZA  
ANN ARBOR, MI 48103

Allentown, PA

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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, 3 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	10/23/2007
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	03/02/1994

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	07/11/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/02/1994

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/](http://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
<b>B</b> 05/2020 - 09/2021	EQUITY SERVICES, INC.	265	MEDIA, PA
<b>IA</b> 05/2020 - 09/2021	ESI FINANCIAL ADVISORS	265	MEDIA, PA
<b>IA</b> 02/2018 - 03/2020	MML INVESTORS SERVICES, LLC	10409	HORSHAM, PA
<b>B</b> 01/2018 - 03/2020	MML INVESTORS SERVICES, LLC	10409	HORSHAM, PA
<b>IA</b> 10/2016 - 09/2017	CONCORDE ASSET MANAGEMENT, LLC	140367	Marlton, NJ
<b>B</b> 10/2016 - 09/2017	CONCORDE INVESTMENT SERVICES, LLC	151604	Marlton, NJ
<b>B</b> 02/2014 - 12/2014	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CONSHOHOCKEN, PA
<b>IA</b> 02/2014 - 12/2014	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CONSHOHOCKEN, PA
<b>B</b> 05/2013 - 02/2014	BCG SECURITIES, INC.	70	HADDONFIELD, NJ
<b>IA</b> 05/2013 - 02/2014	BCG SECURITIES, INC.	70	HADDONFIELD, NJ
<b>IA</b> 03/2012 - 05/2013	METLIFE SECURITIES INC.	14251	LANSDALE, PA
<b>B</b> 12/2011 - 05/2013	METLIFE SECURITIES INC.	14251	LANSDALE, PA
<b>IA</b> 08/2010 - 11/2011	NATIONWIDE SECURITIES, LLC	11173	QUAKERTOWN, PA
<b>B</b> 04/2010 - 11/2011	NATIONWIDE SECURITIES, LLC	11173	QUAKERTOWN, PA
<b>IA</b> 08/2007 - 01/2009	METLIFE SECURITIES INC.	14251	SOMERSET, NJ
<b>B</b> 06/2007 - 01/2009	METLIFE SECURITIES INC.	14251	SOMERSET, NJ
<b>B</b> 10/2006 - 05/2007	HORNOR, TOWNSEND & KENT, INC.	4031	WARRINGTON, PA
<b>B</b> 08/2004 - 08/2005	ALLSTATE FINANCIAL SERVICES, LLC	18272	LINCOLN, NE
<b>B</b> 08/2002 - 06/2004	AMERICAN FINANCIAL ASSOCIATES, INC.	29049	EASTON, PA
<b>B</b> 04/2002 - 06/2002	GRANITE SECURITIES, LLC	104255	WOODBURY, NY
<b>B</b> 06/1998 - 01/2002	AMERICAN FINANCIAL ASSOCIATES, INC.	29049	EASTON, PA
<b>B</b> 11/1994 - 04/1998	LINCOLN BENEFIT FINANCIAL SERVICES, INC.	34047	NORTHBROOK, IL





## Registration and Employment History

### Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 03/1994 - 06/1994	MONY SECURITIES CORP.	4386	NEW YORK, NY
<b>B</b> 10/1989 - 01/1990	INVESTMENT ADVISORS & CONSULTANTS, INC.	7996	WEST LONG BRANCH, NJ
<b>B</b> 06/1988 - 10/1989	BLINDER, ROBINSON & CO., INC.	5096	

### 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
09/2022 - Present	SPC	Investment Advisor	Y	Ann Arbor, MI, United States
09/2022 - Present	Sigma Financial Corporation	Registered Representative	Y	Ann Arbor, MI, United States
05/2020 - 09/2022	EQUITY SERVICES INC	REGISTERED REPRESENTATIVE	Y	MONTPELIER, VT, United States
05/2020 - 09/2022	NATIONAL LIFE GROUP	AGENT	Y	MEDIA, PA, United States
03/2020 - 05/2020	Unemployed	Unemployed	N	Chalfont, PA, United States
01/2018 - 03/2020	MML INVESTORS SERVICES	REGISTERED REP	Y	HORSHAM, PA, United States
11/2017 - 03/2020	MASSMUTUAL	AGENT	Y	HORSHAM, PA, United States
09/2016 - 10/2017	E-Street Financial	Senior Associate	Y	Marlton, NJ, United States
10/2016 - 09/2017	Concorde Asset Management, LLC	Registered Sales Assistant	Y	Livonia, MI, United States
10/2016 - 09/2017	Concorde Investment Services, LLC	Registered Sales Assistant	Y	Livonia, MI, United States



# Registration and Employment History

## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2015 - 08/2016	First Senior Financial Group	Analyst	Y	King of Prussia, PA, 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.

## End of Report



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