FINRA

BrokerCheck Report

Thomas Sweeney

CRD# 2246455

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 Sweeney

CRD# 2246455

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

IA **LPL FINANCIAL LLC**
PITTSVILLE, MD
CRD# 6413
Registered with this firm since: 04/08/2025

B **LPL FINANCIAL LLC**
PITTSVILLE, MD
CRD# 6413
Registered with this firm since: 04/08/2025

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
- 5 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **EDWARD JONES**
CRD# 250
ST. LOUIS, MO
04/2022 - 04/2025

B **EDWARD JONES**
CRD# 250
GEORGETOWN, DE
03/2022 - 04/2025

IA **ANDERSEN WEALTH MANAGEMENT**
CRD# 146154
EASTON, MD
03/2019 - 11/2021

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 5 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	General Securities Representative	Approved	04/08/2025

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	04/08/2025
B	Florida	Agent	Approved	04/08/2025
B	Maryland	Agent	Approved	04/08/2025
IA	Maryland	Investment Adviser Representative	Approved	04/08/2025
B	Pennsylvania	Agent	Approved	04/08/2025
B	Virginia	Agent	Approved	04/08/2025

Branch Office Locations

LPL FINANCIAL LLC
PITTSVILLE, MD

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 1 principal/supervisory exam, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	03/09/2006

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	03/11/2022
B	Securities Industry Essentials Examination	SIE	07/30/2018
B	General Securities Representative Examination	Series 7	06/27/1992

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	04/02/2022
IA	Uniform Investment Adviser Law Examination	Series 65	10/18/1996
B	Uniform Securities Agent State Law Examination	Series 63	07/02/1992

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	04/2022 - 04/2025	EDWARD JONES	250	GEORGETOWN, DE
B	03/2022 - 04/2025	EDWARD JONES	250	GEORGETOWN, DE
IA	03/2019 - 11/2021	ANDERSEN WEALTH MANAGEMENT	146154	EASTON, MD
IA	04/2018 - 07/2018	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Berlin, MD
B	04/2018 - 07/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	BERLIN, MD
IA	12/2017 - 04/2018	LOMBARD ADVISERS INCORPORATED	108231	Berlin, MD
B	11/2017 - 04/2018	LOMBARD SECURITIES INCORPORATED	27954	BALTIMORE, MD
B	02/2014 - 12/2015	PNC INVESTMENTS	129052	BERLIN, MD
IA	01/2014 - 12/2015	PNC INVESTMENTS	129052	BERLIN, MD
IA	11/2011 - 08/2012	VALIC FINANCIAL ADVISORS, INC.	42803	LINTHICUM, MD
B	11/2011 - 08/2012	VALIC FINANCIAL ADVISORS, INC.	42803	LINTHICUM, MD
B	04/2011 - 07/2011	SECURIAN FINANCIAL SERVICES, INC.	15296	ROCKVILLE, MD
IA	04/2011 - 07/2011	SECURIAN FINANCIAL SERVICES, INC.	15296	ROCKVILLE, MD
B	10/2009 - 04/2011	LPL FINANCIAL LLC	6413	ANNAPOLIS, MD
IA	10/2009 - 04/2011	LPL FINANCIAL LLC	6413	ANNAPOLIS, MD
B	10/2008 - 10/2009	PNC INVESTMENTS	129052	ANNAPOLIS, MD
IA	10/2008 - 10/2009	PNC INVESTMENTS	129052	ANNAPOLIS, MD
B	02/2007 - 10/2008	SUNTRUST INVESTMENT SERVICES, INC.	17499	GAMBRILLS, MD
IA	02/2007 - 10/2008	SUNTRUST INVESTMENT SERVICES, INC.	17499	GAMBRILLS, MD
B	01/2006 - 03/2007	LINSCO/PRIVATE LEDGER CORP.	6413	ARNOLD, MD
IA	01/2006 - 03/2007	LINSCO/PRIVATE LEDGER CORP.	6413	ARNOLD, MD

Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	03/1998 - 01/2006	LEGG MASON WOOD WALKER INC	6555	ANNAPOLIS, MD
B	10/1996 - 01/2006	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
B	07/1996 - 04/1997	EWING CAPITAL, INC.	10841	WASHINGTON, DC
B	08/1994 - 11/1995	NATIONSSECURITIES	32542	
B	02/1993 - 09/1994	MONEY MANAGEMENT ADVISORY, INC.	14983	FEASTERVILLE, PA
B	06/1992 - 11/1992	F.N. WOLF & CO., INC.	13051	

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
04/2025 - Present	Lpl Financial	Registered Representative	Y	Pittsville, MD, United States
02/2022 - 04/2025	Edward Jones	Financial Advisor	Y	St Louis, MO, United States
11/2021 - 02/2022	Unemployed	Unemployed	N	Pittsville, MD, United States
03/2019 - 11/2021	Andersen Wealth Management	Investment Adviser Representative	Y	Easton, MD, United States
11/2018 - 03/2019	LaClaire Flooring	Salesman	N	Ocean City, MD, United States
10/2018 - 10/2018	Wilgus Insurance	Salesman	Y	Salisbury, MD, United States
07/2018 - 10/2018	Clarion Resort	Server	N	Ocean City, MD, United States
04/2018 - 06/2018	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2018 - 06/2018	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
11/2017 - 04/2018	LOMBARD SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	BALTIMORE, MD, United States
12/2015 - 04/2018	CLARION HOTEL	SERVER	N	OCEAN CITY, MD, United States
01/2014 - 12/2015	PNC INVESTMENTS	BRANCH FINANCIAL ADVISOR	Y	PITTSBURGH, 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.

1 - 03/2025 - TS Wealth Advisors - DBA for LPL Business (entity for LPL business) - Inv Related - 150 Hours/Month - 40 Hours During Trading - At reported business location(s).

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.
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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

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:	Broker
Regulatory Action Initiated By:	Maryland Insurance Administration
Sanction(s) Sought:	Suspension
Date Initiated:	06/19/2017
Docket/Case Number:	MIA-2017-06-019
Employing firm when activity occurred which led to the regulatory action:	Letter was received by PNC Investments, however, Thomas Sweeney was not employed by said company at the time.
Product Type:	No Product
Allegations:	120 day delinquency in making full child support payments.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	06/19/2017
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Insurance Agent
Duration:	694 days
Start Date:	06/19/2017
End Date:	05/14/2019
Broker Statement	On June 19, 2017 my Maryland Life and Health Insurance license was suspended because I was more than 120 days delinquent on making my full child support payments. At the time I was working as a server in Ocean City, MD which is a very seasonal resort city. Most of my earning were made July through mid September and I could not afford the $1500 a month child support payments when I only made around $25,000 for the year. I tried to have the child support payments lowered through Maryland Child Support Services and, after 9 months, I found out they denied my request. All of the back child support has been paid and I have made the necessary payments for 3 years now.

End of Report

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