

BrokerCheck Report

THOMAS EDWARD SHEA

CRD# 2299633

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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



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. SHEA**

CRD# 2299633

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

B IASG ALTERNATIVES, LLC
 141 WEST JACKSON BLVD
 SUITE 1940
 CHICAGO, IL 60604
 CRD# 175478
 Registered with this firm since: 04/09/2024

B GCG SECURITIES, LLC
 189 TOWNSEND STREET, STE 200
 BIRMINGHAM, MI 48009
 CRD# 324243
 Registered with this firm since: 09/20/2023

B IHT SECURITIES, LLC
 123 N. WACKER DR.
 SUITE 2300
 CHICAGO, IL 60606
 CRD# 297984
 Registered with this firm since: 01/22/2021

B CMD GLOBAL PARTNERS, LLC
 123 N WACKER DR
 SUITE 1375
 CHICAGO, IL 60606
 CRD# 306063
 Registered with this firm since: 09/30/2020

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

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
- 1 U.S. state or territory

This broker has passed:

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

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

- B IASG ALTERNATIVES, LLC**
 CRD# 175478
 CHICAGO, IL
 03/2022 - 04/2024
- IA HK PRIVATE CLIENT, LLC**
 CRD# 315104
 NAPERVILLE, IL
 04/2022 - 11/2023
- B LANDAAS & COMPANY**
 CRD# 47487
 MILWAUKEE, WI
 07/2021 - 08/2023

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 1 U.S. state or territory through his or her employer.

Employment 1 of 5

Firm Name: **CMD GLOBAL PARTNERS, LLC**

Main Office Address: **123 N WACKER DR
SUITE 1375
CHICAGO, IL 60606**

Firm CRD#: **306063**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/30/2020
B	FINRA	General Securities Representative	Approved	09/30/2020
B	FINRA	Introducing BD/Finan Operation Principal	Approved	09/30/2020
B	FINRA	Operations Professional	Approved	09/30/2020

Branch Office Locations

CMD GLOBAL PARTNERS, LLC

123 N WACKER DR
SUITE 1375
CHICAGO, IL 60606

Employment 2 of 5

Firm Name: **DONNELLY PENMAN & PARTNERS**

Main Office Address: **20902 MACK AVENUE
SUITE 200
GROSSE POINTE WOODS, MI 48236**

Firm CRD#: **104448**



Broker Qualifications

Employment 2 of 5, continued

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	07/02/2019

Branch Office Locations

DONNELLY PENMAN & PARTNERS

20902 MACK AVENUE
SUITE 200
GROSSE POINTE WOODS, MI 48236

Employment 3 of 5

Firm Name: **GCG SECURITIES, LLC**
Main Office Address: **189 TOWNSEND STREET, STE 200**
BIRMINGHAM, MI 48009
Firm CRD#: **324243**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	09/20/2023
B FINRA	General Securities Representative	Approved	09/20/2023
B FINRA	Introducing BD/Finan Operation Principal	Approved	09/20/2023
B FINRA	Operations Professional	Approved	11/13/2023

Branch Office Locations

GCG SECURITIES, LLC

189 TOWNSEND STREET, STE 200
BIRMINGHAM, MI 48009

Employment 4 of 5

Firm Name: **IASG ALTERNATIVES, LLC**
Main Office Address: **141 WEST JACKSON BLVD**



Broker Qualifications

Employment 4 of 5, continued

SUITE 1940
CHICAGO, IL 60604

Firm CRD#: 175478

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/09/2024

Branch Office Locations

IASG ALTERNATIVES, LLC

141 WEST JACKSON BLVD
SUITE 1940
CHICAGO, IL 60604

Employment 5 of 5

Firm Name: IHT SECURITIES, LLC

Main Office Address: 123 N. WACKER DR.
SUITE 2300
CHICAGO, IL 60606

Firm CRD#: 297984

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	01/22/2021
B FINRA	Operations Professional	Approved	06/03/2021
U.S. State/ Territory	Category	Status	Date
B Illinois	Agent	Approved	04/19/2021

Branch Office Locations

IHT SECURITIES, LLC

123 N. WACKER DR.
SUITE 2300

Broker Qualifications



Employment 5 of 5, continued

CHICAGO, IL 60606



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/16/2015

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	08/07/2000
B General Securities Representative Examination	Series 7	12/21/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/02/2015
B Uniform Securities Agent State Law Examination	Series 63	02/22/1996

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
B 03/2022 - 04/2024	IASG ALTERNATIVES, LLC	175478	CHICAGO, IL
IA 04/2022 - 11/2023	HK PRIVATE CLIENT, LLC	315104	Chicago, IL
B 07/2021 - 08/2023	LANDAAS & COMPANY	47487	MILWAUKEE, WI
B 10/2020 - 06/2021	BRG CAPSTONE CAPITAL ADVISORS	282519	NASHVILLE, TN
IA 02/2017 - 03/2021	NAJARIAN ADVISORS, LLC	282679	CHICAGO, IL
B 06/2018 - 07/2019	SOUTHERN WEALTH SECURITIES, LLC	291005	DALLAS, TX
IA 03/2017 - 12/2018	NAJARIAN FAMILY OFFICE, LLC	282209	CHICAGO, IL
B 12/2015 - 11/2018	PODESTA & CO.	13140	CHICAGO, IL
IA 03/2017 - 11/2017	BROADWATER ADVISORS, LLC	286577	CHICAGO, IL
IA 03/2017 - 10/2017	AHC ADVISORS, INC.	127364	CHICAGO, IL
IA 06/2017 - 09/2017	STELLAM ADVISORS LLC	286336	CHICAGO, IL
IA 10/2015 - 08/2017	PODESTA & CO.	13140	Chicago, IL
B 07/2000 - 09/2001	FLEET SECURITIES, INC.	13071	DALLAS, TX
B 02/2000 - 08/2000	GOLDENBERG, HEHMEYER & CO.	36665	CHICAGO, IL
B 02/1996 - 03/1998	EQ FINANCIAL CONSULTANTS, INC.	6627	NEW YORK, NY
B 12/1992 - 03/1998	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY

Employment History



Registration and Employment History

Employment History, continued

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
03/2022 - Present	IASG Alternatives, LLC	FINOP	Y	Chicago, IL, United States
07/2021 - Present	LANDAAS & COMPANY	FINOP	Y	MILWAUKEE, WI, United States
09/2020 - Present	CMD Global Partners, LLC	FINOP	Y	Chicago, IL, United States
07/2019 - Present	DONNELLY PENMAN & PARTNERS	FINOP	Y	GROSSE POINTE, MI, United States
08/2017 - Present	Trek Financial	CCO	Y	Scottsdale, AZ, United States
09/2015 - Present	Ravenswood Compliance, LLC	Managing Partner	Y	CHICAGO, IL, United States
04/2022 - 11/2023	HK Private Client, LLC	CCO	Y	Naperville, IL, United States
01/2020 - 02/2023	Sentinus Halo Securities, LLC	Muni Principal	Y	Chicago, IL, United States
01/2022 - 09/2022	RED OAK CAPITAL INVESTMENTS	CCO AND FINOP	Y	OAK BROOK, IL, United States
10/2020 - 06/2021	BRG Capital Advisors	FINOP	Y	Nashville, TN, United States
02/2017 - 03/2021	Najarian Advisors, llc	cco	Y	Chicago, IL, United States
08/2017 - 02/2020	Levin Funding Group	CCO	Y	Tucson, AZ, United States
03/2017 - 12/2018	Najarian Family Office, LLC	CCO	Y	CHICAGO, IL, United States
10/2015 - 11/2018	Podesta & Co.	Compliance Consultant	Y	Chicago, IL, United States
04/2017 - 11/2017	Stellam Advisors LLC	CCO	Y	STAMFORD, CT, United States
03/2017 - 10/2017	AHC Advisors, Inc.	CCO	Y	ST. CHARLES, IL, United States
01/2016 - 01/2016	Gery Sadzewicz Consulting LLC	Senior Consultant	Y	ChicAGO, IL, 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.

Ravenswood Compliance LLC, 09/2015 ,non investment related, WAS FORMED TO PROVIDE COMPLIANCE CONSULTING AND SUPPORT TO STATE AND FEDERAL REGISTERED IA'S AND BD'S. COMPLIANCE SERVICES INCLUDE ACTING AS AN OUTSOURCED CCO AND/OR FINOP. I HAVE PERMISSION FROM THE EMPLOYING FIRMS TO PROVIDE THESE SERVICES. THE FIRMS FOR WHICH I SERVE AS AN OFFICER FOR ARE DISCLOSED IN THE EMPLOYMENT HISTORY OF MY FORM U4. I DO NOT ENGAGE IN TRADING ACTIVITIES OR SALES. DEDICATE 160 HOURS DURING TRADING HOURS.

Mr. Shea is a Senior Consultant with Gery Sadzewicz Consulting LLC, a firm that provides business, financial, and compliance consulting services to broker dealers and investmentadvisers. Mr. Shea, as a result of this business, serves as a Chief Compliance Officer and/or FinOp for several broker-dealers and investment advisers.

End of Report



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