

BrokerCheck Report

WILLIAM COLDRIDGE THOMPSON JR

CRD# 2316101

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

WILLIAM C. THOMPSON JR

CRD# 2316101

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

- B SIEBERT WILLIAMS SHANK & CO., LLC**
100 WALL STREET
18TH FLOOR
NEW YORK, NY 10005
CRD# 42568
Registered with this firm since: 11/21/2013

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
- 16 U.S. states and territories

This broker has passed:

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

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

- B SIEBERT, BRANDFORD, SHANK & CO., L.L.C.**
CRD# 42568
NEW YORK, NY
06/2010 - 04/2013
- B BEREAN CAPITAL INCORPORATED**
CRD# 24915
CHICAGO, IL
04/1998 - 05/2001
- B GEORGE K. BAUM & COMPANY**
CRD# 36354
KANSAS CITY, MO
05/1994 - 05/1996

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

Employment 1 of 1

Firm Name: **SIEBERT WILLIAMS SHANK & CO., LLC**

Main Office Address: **100 WALL STREET
18TH FLOOR
NEW YORK, NY 10005**

Firm CRD#: **42568**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/21/2013
B	FINRA	Municipal Securities Representative	Approved	12/02/2013
B	FINRA	Municipal Securities Principal	Approved	03/27/2017

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/21/2013
B	Connecticut	Agent	Approved	11/22/2013
B	Delaware	Agent	Approved	12/19/2013
B	District of Columbia	Agent	Approved	12/16/2013
B	Florida	Agent	Approved	01/23/2014
B	Maryland	Agent	Approved	11/26/2013
B	Massachusetts	Agent	Approved	11/22/2013
B	Michigan	Agent	Approved	12/16/2013
B	New Jersey	Agent	Approved	01/02/2014
B	New York	Agent	Approved	12/16/2013



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	11/21/2013
B	Ohio	Agent	Approved	11/21/2013
B	Pennsylvania	Agent	Approved	11/22/2013
B	Puerto Rico	Agent	Approved	11/26/2013
B	Virginia	Agent	Approved	11/21/2013
B	Wisconsin	Agent	Approved	12/17/2013

Branch Office Locations

SIEBERT WILLIAMS SHANK & CO., LLC
 100 WALL STREET
 18TH FLOOR
 NEW YORK, NY 10005



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	03/27/2017

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/07/1995

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/10/2010

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 06/2010 - 04/2013	SIEBERT, BRANDFORD, SHANK & CO., L.L.C.	42568	NEW YORK, NY
B 04/1998 - 05/2001	BEREAN CAPITAL INCORPORATED	24915	CHICAGO, IL
B 05/1994 - 05/1996	GEORGE K. BAUM & COMPANY	36354	KANSAS CITY, MO

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
11/2013 - Present	SIEBERT WILLIAMS SHANK & CO., L.L.C.	SENIOR MANAGING DIRECTOR/CHIEF ADMINISTRATIVE OFFICER	Y	NEW YORK, NY, 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.

New York County Health Services Review - Med Review Inc., 199 Water St., 27th, NYC 10038, board member, not for profit, 2014, 12hrs/yr., not during trading hrs., not investment related, receive compensation, periodic review of individual medical cases.

Afro Latin Jazz Alliance, Townhouse, 1026, Minisink, 646 Malcolm X Blvd., Ste 205, NYC 10037, board member, not for profit, 2016, hrs. vary and not during trading hrs., not investment related, not for compensation, cultural work with NYC public school students.

CUNY, 217 East 42 St., NYC 10017, Chairman of Overall Board, and Chairman of the Investment Committee, 2016, 10-12hrs/mo. and during trading hrs., investment related, not for compensation, offering policy and strategic guidance in education.

American Triple I Partners, 100 Wall St., 18th fl., NYC 10005, Chairman of Advisory Committee, private equity fund, 02/2019, 8hrs/mo. and during trading hrs., investment related, not for compensation, involved with strategy and development.



Registration and Employment History

Other Business Activities, continued

Fox Rehabilitation Therapy Company, 7 Carnegie Plz., Cherry Hill, NJ 08003, board member, not for profit, 06/2019, quarterly meetings/yr. and during trading hrs., investment related, receive compensation, advisory services.

AFL-CIO Housing Investment Trust, 815 16th St. NW, Washington, DC 20006, board member, not for profit, Jan/Feb 2018, quarterly meetings/yr. and during trading hrs., investment related, receive compensation, policy and strategic advisory services.

Emigrant Bank, 6 East 43 St., NYC 10017, director, 09/2019, quarterly meetings/yr. and during trading hrs., not investment related, receive compensation, advisory services.

Mt. Sinai Health Systems - One Gustave Place L. Levy Place, Box 1220 NY, NY 10029 - Advisory Board Member, not investment related, no compensation received. MSHS drives & supports a network of 7 hospitals, one medical school and 300 + locations to accomplish a mission to provide compassionate patient care and to advance medicine through education research and outreach. 2 hours quarterly; not market hours start date 3/17/2021

NYS Financial Control Board - 80 Maiden Lane, Suite 402, New York, NY 10038-5167 - Board Member, for profit, no compensation received. FCB Board responsibilities of review and oversight with respect to the financial management of the New York City government and certain related public authorities. Could be market hours, Start date 7/16/2020

Citizens Budget Commission (CBC), Board of Trustees, Start date 1/1/2018. Non compensated, not for profit, during and not during trade hours, 4 hrs. monthly

240 West 35th Street, Suite 302, New York, NY 10001

CBC is an organization pursuing constructive change in the finances and services of New York City and State.

SWC Equity Partners, LLC; Investment-Related; 100 Wall Street 18th Floor New York, NY 10005; Project Oversight; July 2022; Hours/Month - Approx 20;

Regional Planning Association; Non-Investment-Related; One Whitehall Street, New York, NY, Board Member, February 2023, Hours/Month - Approx 2 - Quarterly Meetings; RPA is an independent non-profit civic organization that develops and promotes ideas to improve the economic health, environmental resiliency, and quality of life of the New York metropolitan area.

Rebalance Capital - Member, Board of Advisors , Investment Related, 303 East 57th Street. Apt. 36F NYC, 10005 - Approx 3.5 hrs/month - Start 5/2023

Social Equity Impact Ventures GP I, LLC - CAO - Investment Related - 100 Wall Street 18th FL NYC 10005 - Approx 20 hrs/month - Start 3/2023

Name: SWC Equity Partners II, LLC, 100 Wall St., 18th Floor, New York, NY. Title: Director. Investment-Related: Yes. Start Date: January 2026. Approximately 0.5 hours per month, during market hours.

Name: Thompson Financial Group, Inc., New York, New York. Role: Shareholder and Director. Investment-Related: Yes. Start Date: February 2023. Less than 1 hour per month, outside of market hours.

End of Report



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