

BrokerCheck Report

THOMAS CHAD ATKINS

CRD# 2459496

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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 C. ATKINS

CRD# 2459496

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

IA ADVISOR RESOURCE COUNCIL
15110 DALLAS PARKWAY
SUITE 500
DALLAS, TX 75248
CRD# 164109
Registered with this firm since: 06/18/2012

B LPL FINANCIAL LLC
15110 DALLAS PKWY SUITE 500
DALLAS, TX 75248
CRD# 6413
Registered with this firm since: 06/08/2009

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:

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

Registration History

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

- IA LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
11/2017 - 02/2019
- IA LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
06/2009 - 06/2013
- IA TRANSAMERICA INVESTMENT MANAGEMENT, LLC**
CRD# 108488
LOS ANGELES, CA
11/2007 - 06/2009

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
Criminal	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 2

Firm Name: **ADVISOR RESOURCE COUNCIL**

Main Office Address: **15110 DALLAS PARKWAY
SUITE 500
DALLAS, TX 75248**

Firm CRD#: **164109**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/27/2021
IA	Texas	Investment Adviser Representative	Approved	06/18/2012

Branch Office Locations

15110 DALLAS PARKWAY
SUITE 500
DALLAS, TX 75248

15110 DALLAS PARKWAY
SUITE 500
DALLAS, TX 75248

SANTA ROSA BEACH, FL

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Broker Qualifications



Employment 2 of 2, continued

Firm CRD#: 6413

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/08/2009
B	FINRA	General Securities Principal	Approved	01/20/2010

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	11/30/2016
B	Arizona	Agent	Approved	11/30/2016
B	Arkansas	Agent	Approved	02/24/2021
B	California	Agent	Approved	07/21/2009
B	Colorado	Agent	Approved	11/30/2016
B	Connecticut	Agent	Approved	06/24/2021
B	Florida	Agent	Approved	07/07/2009
B	Georgia	Agent	Approved	11/30/2016
B	Hawaii	Agent	Approved	01/05/2011
B	Illinois	Agent	Approved	07/12/2021
B	Kentucky	Agent	Approved	01/29/2015
B	Louisiana	Agent	Approved	10/20/2014
B	Maryland	Agent	Approved	02/24/2021
B	Michigan	Agent	Approved	06/25/2021
B	Missouri	Agent	Approved	06/24/2021
B	Nevada	Agent	Approved	04/15/2013
B	New Jersey	Agent	Approved	05/23/2011



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	06/24/2021
B	New York	Agent	Approved	11/17/2021
B	North Carolina	Agent	Approved	08/20/2018
B	Oklahoma	Agent	Approved	07/29/2009
B	Oregon	Agent	Approved	07/01/2021
B	South Carolina	Agent	Approved	12/02/2016
B	Texas	Agent	Approved	06/08/2009
B	Virginia	Agent	Approved	02/25/2021
B	Washington	Agent	Approved	10/05/2015
B	Wisconsin	Agent	Approved	08/24/2016

Branch Office Locations

LPL FINANCIAL LLC

15110 DALLAS PKWY SUITE 500
DALLAS, TX 75248

LPL FINANCIAL LLC

10 KRISTIN CT
SANTA ROSA BEACH, FL 32459



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	08/12/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/01/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/29/2007
B Uniform Securities Agent State Law Examination	Series 63	07/15/1994

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/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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 11/2017 - 02/2019	LPL FINANCIAL LLC	6413	COPPELL, TX
IA 06/2009 - 06/2013	LPL FINANCIAL LLC	6413	COPPELL, TX
IA 11/2007 - 06/2009	TRANSAMERICA INVESTMENT MANAGEMENT, LLC	108488	CARROLTON, TX
B 03/2005 - 06/2009	TRANSAMERICA CAPITAL, INC.	8217	DENVER, CO
B 08/2004 - 03/2005	ING FUNDS DISTRIBUTOR, LLC	37886	WINDSOR, CT
IA 05/2002 - 09/2004	NEW YORK LIFE INVESTMENT MANAGEMENT LLC	109591	PARSIPPANY, NJ
B 06/2001 - 09/2004	NYLIFE DISTRIBUTORS LLC	35350	JERSEY CITY, NJ
B 12/1999 - 08/2000	H.D. VEST INVESTMENT SECURITIES, INC.	13686	DALLAS, TX
B 06/1999 - 12/1999	COMPASS BROKERAGE, INC.	17086	BIRMINGHAM, AL
B 08/1994 - 05/1999	H.D. VEST INVESTMENT SECURITIES, INC.	13686	DALLAS, TX

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
06/2012 - Present	Advisor Resource Council (Formerly: 360 Wealth Management, LLC)	Investment Adviser Representative	Y	Dallas, TX, United States
06/2009 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, 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.

1. 12/05/2014: 360 Wealth Management LLC - DBA for LPL Business (entity for LPL business) - Investment Related - 17300 N. Dallas Pkwy #2065, Dallas TX 75248 - Started 06/02/2011 - 150 Hr/Mo; 150 Hours During Securities Trading
 2. 11/30/2015: 360 Wealth Management Partners - DBA for LPL Business (entity for LPL business) - Investment Related - 17300 N Dallas Parkway Suite 2065, Dallas Tx 75248 - Started 11/15/2015 - 5 Hr/Mo; 1 Hour During Securities Trading
 3. 08/17/2016: Team 360 Wealth Mgmt - DBA for LPL Business (entity for LPL business) - Investment Related - 17300 North Dallas Parkway #2065, Dallas, TX 75248 - Started 05/09/2016 - 5 Hr/Mo; 5 Hours During Securities Trading.
 4. 10/3/2019 - Advisor Resource Council - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date: 01/01/2020 - 120 Hours Per Month/120 Hours During Securities Trading - I provide investment advisory services through Advisor Resource Council, an independent investment advisor firm. I started this business activity in Jan 2020. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
 5. 10/3/2019 - Advisor Resource Council - DBA: (Hybrid) 360 Wealth Management Partners - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start Date: 01/01/2020 - 120 Hours Per Month/120 Hours During Securities Trading.
 6. 9/11/2020 - Kingsland PM Incorporated - Investment Related - Plano, TX 75093; and Santa Rosa Beach, FL 32459 - Real Estate Rental - Started 03/15/2019 - 1 Hour Per Month/0 Hours During Securities Trading - Buying a rental house for inlaws, will rent it to them. Also bought a FL beach house as a rental property.
 7. 02/04/2022 - The Colony Wine Bar - Not Investment Related - 5768 Grandscape Blvd Ste 145, The Colony, TX 75056 - Other-Hospitality/outside employment - Bartender - Start Date: 11/10/2021 - 20 Hours Per Month/0 Hours During Securities Trading.
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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.
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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
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	DENTON COUNTY COURT DENTON COUNTY, TEXAS CR-89-03927-B
Charge Date:	01/16/1990
Charge Details:	1-ONE COUNT OF THEFT 2-MISDEMEANOR 3-GUILTY 4-NA
Felony?	No
Current Status:	Final
Status Date:	07/16/1990
Disposition Details:	A. DEFERRED ADJUDICATION B. 1-16-90 C. \$400 FINE, \$120.50 COURT COSTS, 6MONTHS OF UNSUPERVISED SUPERVISION D. 6 MONTHS PROBATION E. 1-16-90 F. \$400 G. 1-16-90
Broker Statement	FRESHMAN YEAR IN COLLEGE A ROOMATE OF MINE STOLE A BARBER CHAIR LATE AT NIGHT WHEN I WAS WITH HIM. I GOT CAUGHT OUTSIDE OF OUR APARTMENT BUT HE DID NOT. IT WAS A MISDEMEANOR AND I WAS PLACED ON UNSUPERVISED PROBATION. I COMPLETED THE PROBATION, PAID THE FINE AND COURT COSTS AND NOTHING ELSE HAS BEEN ASKED TO BE DONE.

End of Report



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