BrokerCheck Report

THOMAS QUENTIN CANNON JR

CRD# 39762

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.
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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 Q. CANNON JR

CRD# 39762

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

B **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
Salt Lake City, UT
10/2024 - 01/2025

B **STONEX SECURITIES INC.**
CRD# 18456
SALT LAKE CITY, UT
05/2002 - 10/2024

B **AMERICAN INVESTMENT SERVICES, INC.**
CRD# 21111
OKLAHOMA CITY, OK
08/1994 - 05/2002

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	2
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at
https://www.adviserinfo.sec.gov

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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 broker is not currently registered.

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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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	11/27/1996

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Registered Representative Examination	Series 1	09/02/1966

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	04/04/2013
B	Uniform Securities Agent State Law Examination	Series 63	01/31/1984

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	10/2024 - 01/2025	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Salt Lake City, UT
B	05/2002 - 10/2024	STONEX SECURITIES INC.	18456	SALT LAKE CITY, UT
B	08/1994 - 05/2002	AMERICAN INVESTMENT SERVICES, INC.	21111	OKLAHOMA CITY, OK
B	08/1991 - 12/1993	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B	02/1974 - 09/1991	WILSON-DAVIS & CO., INC.	3777	SALT LAKE CITY, UT
B	12/1969 - 04/1974	A. G. EDWARDS & SONS, INC.	4	

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
10/2024 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Salt Lake City, UT, United States
07/2016 - 10/2024	STONEX ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SALT LAKE CITY, UT, United States
05/2002 - 10/2024	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	SALT LAKE CITY, UT, 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.

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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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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	2	0
Termination	N/A	2	N/A

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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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/09/1993
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/08/1994
Sanctions Ordered:	Cease and Desist/Injunction Suspension

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Other Sanctions Ordered:

Sanction Details:

Regulator Statement

[TOP]3/17/93 SEC NEWS DIGEST, ISSUE 93-44, 3/9/93, SEC INSTITUTED PUBLIC ADMINISTRATIVE PROCEEDINGS, PURSUANT TO SECTION 15(b)(6), 19(h) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT), AGAINST THOMAS Q. CANNON, JR. THE ORDER ALLEGES THAT CANON: WILLFULLY AND KNOWINGLY PROVIDED SUBSTANTIAL ASSISTANCE TO ONE, RICHARD WARNER, AND THEREFORE AIDED AND ABETTED WARNER'S VIOLATION OF SECTION 10(b) 10b-5 OF THE EXCHANGE ACT AND BY ENGAGING IN THE CONDUCT, CAUSED WARNER'S VIOLATION OF SECTION 10(b) AND 10b-5 OF THE EXCHANGE ACT. (REL. 34-31938) 7/2/93 SEC NEWS DIGEST, ISSUE #93-114 6/16/93; ON 6/1, SEC ISSUED AMENDMENT TO THE ORDER (ADMINISTRATIVE PROCEEDING NO. 3-7988) STATING: CANON KNEW OR WAS RECKLESS IN NOT KNOWING WARNER AND HIS NOMINEES ENTERED ORDERS WHEN THE PRICE OF THE LATEST TRADE IN ALPNET STOCK WAS BELOW THE ASK PRICE AND FREQUENTLY DIRECTED A PURCHASE IN ONE OF HIS NOMINEE ACCOUNTS FOR THE PURPOSE OF CAUSING STOCK TO TRADE AT A HIGHER PRICE. (REL. 34-32435) ; AND CANON'S CONDUCT CAUSED WARNER'S VIOLATION OF THE EXCHANGE ACT. (REL. 34-31938) 12/30/93: SEC DIGEST, ISSUE 93-240; 12/15/93; INITIAL DECISION ISSUED SUSPENDING CANON FOR 6 MONTHS FROM ASSOCIATING WITH ANY
BROKER OR DEALER; AND PERMANENTLY ORDERING CANON TO CEASE AND
DESIST FROM COMMITTING OR CAUSING ANY VIOLATION OR FUTURE VIOLATION OF THE EXCHANGE ACT. DECISION FOUND CANON WILLFULLY AIDED AND ABETTED WARNER IN VIOLATION OF THE ANTIFRAUD PROVISIONS OF THE EXCHANGE ACT. (INTITAL DECISION REL. NO 41) INITIAL DECISION HAS BECOME FINAL. (REL. 34-33480) 8/31/94 SEC DOCKET, VOLUME 55 NO. 18, PAGE 2854, DATED 2/8/94; REL. NO. 33480/ 1/14/94; ADMINISTRATIVE PROC. FILE NO. 3-7988; INITIAL DECISION HAS BECOME THE FINAL DECISION OF THE SEC . THE ORDER CONTAINED IN THAT DECISION IS DECLARED EFFECTIVE. SUSPENSION OF CANON SHALL BE EFFECTIVE AT OPENING OF BUSINESS ON 1/27/94.

Reporting Source:	Firm
Regulatory Action Initiated By:	SECURITIES & SECURITIES & EXCHANGE COMMISSION
Sanction(s) Sought:	

Other Sanction(s) Sought:	
Date Initiated:	03/09/1993
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THE PRIMARY ALLEGATION WAS THAT HE ASSISTED HIS CLIENT IN THE PRACTICE OF MARKING THE CLOSE.
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/08/1994
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	MR. CANNON IS SUSPENDED FOR SIX MONTHS FROM ASSOCIATING WITH ANY BROKER DEALER. THIS BECOME FINAL IF AN APPEAL IS NOT MADE WITHIN 15 DAYS.
Firm Statement	Not Provided

Reporting Source:	Broker
Regulatory Action Initiated By:	SEC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/09/1993
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	

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Product Type:	
Other Product Type(s):	
Allegations:	EXECUTED ORDERS AT OR NEAR THE CLOSE OF MARKET IN ORDER TO EFFECT THE CLOSING.
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/08/1994
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	REC 6 MONTH SUSPENSION, AND HAS BEEN SERVED.
Broker Statement	I HAVE SERVED MY 6 MONTH SUSPENSION. START DATE JAN. 27, 1994 THRU TO THE END, JULY 27, 1994

Disclosure 2 of 2

Reporting Source:	Firm
Regulatory Action Initiated By:	NORTH CAROLINA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/16/1985
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	WILSON-DAVIS & CO., INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	SELL UN-REGISTERED SECURITIES
Current Status:	Final
Resolution:	Settled

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Resolution Date:	01/16/2008
Sanctions Ordered:	
Other Sanctions Ordered:	NONE
Sanction Details:	NO SANCTIONS.
Firm Statement	MR. CANNON WAS PERMITTED TO RESIGN DESPITE THE FACT THAT HE OWES WILSON-DAVIS & CO., INC. APPROXIMATELY $20,000.00. ON AUGUST 16, 1985, THE NORTH CAROLINA SECURITIES DIVISION ENTERED AN ORDER TO CEASE AND DESIST PROHIBITING MR. CANNON FROM OFFERING AND/OR SELLING SECURITIES TO RESIDENTS OF NORTH CAROLINA UNTIL SUCH SECURITIES ARE REGISTERED OR CONFIRMATION IS OBTAINED THAT SUCH SECURITIES ARE EXEMPT FROM REGISTRATION. THE ORDER FURTHER PROVIDES THAT MR. CANNON CEASE SELLING SECURITIES TO RESIDENTS OF NORTH CAROLINA UNTIL REGISTERED AS A SALESMAN IN NORTH CAROLINA. MR. CANNON TOGETHER WITH WILSON-DAVIS & CO., INC. AND OTHER AGENTS NAMED IN THE ORDER HAVE REQUESTED AND HAVE BEEN GRANTED A HEARING AND THIS MATTER IS THEREFORE, PENDING A HEARING IN THE STATE OF NORTH CAROLINA.

Reporting Source:	Broker
Regulatory Action Initiated By:	NORTH CAROLINA SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/16/1985
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	WILSON-DAVIS & CO., INC.
Product Type:	Other
Other Product Type(s):	UNREGISTERED SECURITIES

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Allegations:	THE NORTH CAROLINA SECURITIES DIVISION ENTERED AN ORDER TO CEASE AND DESIST OFFERING AND/OR SELLING SECURITIES IN NORTH CAROLINA UNTIL SUCH SECURITIES ARE REGISTERED OR DEEMED EXEMPT FROM REGISTAR FURTHER I HAD TO BECOME REGISTERED IN NORTH CAROLINA
Current Status:	Final
Resolution:	Settled
Resolution Date:	01/16/2008
Sanctions Ordered:	
Other Sanctions Ordered:	MR. CANNON SAID THERE WERE NO SANCTIONS ORDERED. NO HEARING, NO FINE, NO FINAL DISPOSITION.
Sanction Details:	NOT PROVIDED/ THERE IS NO INFORMATION FROM THE STATE OF NC OR FROM MR CANNON TO SHOW A SANCTION, FINE, OR DISPOSITION.
Broker Statement	THIS OCCURANCE IS FROM 1985 AND APPARENTLY THERE IS NO CASE/DOCKET NUMBER TO PROVIDE MORE INFORMATION.

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Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Broker
Employer Name:	A. G. EDWARDS
Termination Type:	Permitted to Resign
Termination Date:	12/17/1993
Allegations:	N/A SEC INVESTIGATION
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION N/A

Disclosure 2 of 2

Reporting Source:	Broker
Employer Name:	WILSON-DAVIS & CO, INC
Termination Type:	Permitted to Resign
Termination Date:	08/14/1991
Allegations:	N/A NORTH CAROLINA ISSUED A CEASE & DESIST ORDER
Product Type:	
Other Product Types:	
Broker Statement	PERMITTED TO RESIGN N/A

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End of Report

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