

BrokerCheck Report

Thomas G. Gervase

CRD# 4367418

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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 G. Gervase

CRD# 4367418

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

1501 Lakestone Village Lane
Suite 205 D
Fuquay Varina, NC 27526
CRD# 110692
Registered with this firm since: 06/14/2024

B **PARKLAND SECURITIES, LLC**

1501 Lakestone Village Ln, Ste. 205 D
Fuquay Varina, NC 27526
CRD# 115368
Registered with this firm since: 06/14/2024

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:**

- 2 Self-Regulatory Organizations
- 12 U.S. states and territories

This broker has passed:

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

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**

Registration History**This broker was previously registered with the following securities firm(s):****IA** **GROVE POINT ADVISORS, LLC**

CRD# 313171
ROCKVILLE, MD
12/2022 - 06/2024

B **GROVE POINT INVESTMENTS, LLC**

CRD# 1763
Fuquay Varina, NC
12/2022 - 06/2024

B **PRUCO SECURITIES, LLC.**

CRD# 5685
Greensboro, NC
10/2022 - 12/2022

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 2 SROs and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **PARKLAND SECURITIES, LLC**

Main Office Address: **300 PARKLAND PLAZA
ANN ARBOR, MI 48103**

Firm CRD#: **115368**

SRO	Category	Status	Date
 FINRA	General Securities Representative	Approved	06/14/2024
 FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
 Nasdaq Stock Market	General Securities Representative	Approved	06/14/2024

U.S. State/ Territory	Category	Status	Date
 California	Agent	Approved	07/29/2025
 District of Columbia	Agent	Approved	07/16/2025
 Florida	Agent	Approved	06/14/2024
 Illinois	Agent	Approved	06/14/2024
 Maryland	Agent	Approved	01/07/2026
 North Carolina	Agent	Approved	06/19/2024
 Ohio	Agent	Approved	06/14/2024
 Pennsylvania	Agent	Approved	07/14/2025
 South Carolina	Agent	Approved	06/14/2024
 Texas	Agent	Approved	01/02/2026



Broker Qualifications

Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Virginia	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

PARKLAND SECURITIES, LLC

1501 Lakestone Village Ln, Ste. 205 D
Fuquay Varina, NC 27526

Employment 2 of 2

Firm Name: SPC

Main Office Address: 300 PARKLAND PLAZA
ANN ARBOR, MI 48103

Firm CRD#: 110692

U.S. State/ Territory	Category	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	06/14/2024

Branch Office Locations

300 PARKLAND PLAZA
ANN ARBOR, MI 48103

1501 Lakestone Village Lane
Suite 205 D
Fuquay Varina, NC 27526

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	03/29/2019
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/26/2007
B General Securities Representative Examination	Series 7	04/24/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/02/2015
B Uniform Securities Agent State Law Examination	Series 63	12/04/2007

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
IA 12/2022 - 06/2024	GROVE POINT ADVISORS, LLC	313171	Fuquay Varina, NC
B 12/2022 - 06/2024	GROVE POINT INVESTMENTS, LLC	1763	Fuquay Varina, NC
B 10/2022 - 12/2022	PRUCO SECURITIES, LLC.	5685	Greensboro, NC
IA 10/2022 - 12/2022	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Greensboro, NC
IA 07/2020 - 10/2022	MODERN CAPITAL ADVISORS, LLC	131117	Raleigh, NC
B 03/2020 - 10/2022	MODERN CAPITAL SECURITIES INC.	130876	RALEIGH, NC
IA 04/2020 - 12/2021	MODERN CAPITAL ADVISORS, LLC	131117	RALEIGH, NC
B 11/2019 - 03/2020	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	RALEIGH, NC
IA 07/2015 - 10/2019	CUSO FINANCIAL SERVICES, L.P.	42132	Garner, NC
B 04/2014 - 10/2019	CUSO FINANCIAL SERVICES, L.P.	42132	Garner, NC
B 01/2011 - 01/2013	PARK AVENUE SECURITIES LLC	46173	RALEIGH, NC
B 08/2007 - 01/2011	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	RALEIGH, NC
B 04/2001 - 10/2001	FSC SECURITIES CORPORATION	7461	ATLANTA, GA

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
06/2024 - Present	Parkland Securities, LLC.	Registered Representative	Y	Ann Arbor, MI, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	SPC	IAR	Y	Ann Arbor, MI, United States
12/2022 - 06/2024	Grove Point Advisors, LLC	Investment Advisor Representative	Y	Rockville, MD, United States
12/2022 - 06/2024	Grove Point Investments, LLC	Registered Representative	Y	Rockville, MD, United States
10/2022 - 12/2022	PRUCO SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	GREENSBORO, NC, United States
10/2022 - 12/2022	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	Y	GREENSBORO, NC, United States
04/2020 - 10/2022	Modern Capital Advisors, LLC	Registered Representative	Y	Mount Pleasant, SC, United States
03/2020 - 10/2022	Modern Capital Securities, Inc.	Registered Representative	Y	Raleigh, NC, United States
11/2019 - 03/2020	Liberty Partners Financial Services, LLC.	Registered Representative	Y	Bakersfield, CA, United States
09/2019 - 11/2019	Unemployed	Unemployed	N	Fuquay Varina, NC, United States
04/2014 - 09/2019	COASTAL FEDERAL CREDIT UNION	REGISTERED REPRESENTATIVE	Y	DURHAM, NC, United States
04/2014 - 09/2019	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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.

THOMAS GERVASE

POSITION: Independent Contractor NATURE: Insurance Sales NUMBER OF HOURS: 5 NUMBER OF HRS DURING SECURITIES TRADING: 5. START DATE: 11/01/2019

ADDRESS: 1501 Lakestone Village Lane, Ste. 205D. Fuquay Varina, NC. United States

DESCRIPTION: Sale of non-variable insurance products including Life, DI or LTC insurance.

INV REL: Y

SPARTAN FINANCIAL ADVISORS (DBA)

POSITION: Financial Advisor NUMBER OF HOURS: 60 SECURITIES TRADING HOURS: 60 START DATE: 12/22/2022

ADDRESS: 1501 Lakestone Village Lane, Ste. 205D. Fuquay Varina, NC. United States

Registration and Employment History



Other Business Activities, continued

DESCRIPTION: Financial advising and holistic financial, insurance and retirement planning.

INV REL: Y

End of Report



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