

BrokerCheck Report

THOMAS MICHAEL BURKE JR

CRD# 5137927

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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 M. BURKE JR**

CRD# 5137927

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

IA KOVACK ADVISORS, INC.
 2527 Cranberry Highway
 Wareham, MA 02571
 CRD# 140808
 Registered with this firm since: 12/02/2022

B KOVACK SECURITIES INC.
 2527 Cranberry Highway
 Wareham, MA 02571
 CRD# 44848
 Registered with this firm since: 07/06/2022

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
- 9 U.S. states and territories

This broker has passed:

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

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

- IA SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 03/2022 - 06/2022
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 ROCKLAND, MA
 03/2022 - 06/2022
- IA LINCOLN FINANCIAL ADVISORS CORPORATION**
 CRD# 3978
 FORT WAYNE, IN
 01/2018 - 03/2022

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	1
Termination	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 2 SROs and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KOVACK ADVISORS, INC.**
 Main Office Address: **6451 N. FEDERAL HWY
 SUITE 1201
 FT. LAUDERDALE, FL 33308**
 Firm CRD#: **140808**

	U.S. State/ Territory	Category	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	12/02/2022

Branch Office Locations

6451 N. FEDERAL HWY
 SUITE 1201
 FT. LAUDERDALE, FL 33308

2527 Cranberry Highway
 Wareham, MA 02571

Employment 2 of 2

Firm Name: **KOVACK SECURITIES INC.**
 Main Office Address: **6451 N. FEDERAL HWY.
 SUITE 1201
 FT. LAUDERDALE, FL 33308**
 Firm CRD#: **44848**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/06/2022



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	07/06/2022

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	Approved	12/14/2022
B Florida	Agent	Approved	10/25/2022
B Illinois	Agent	Approved	09/11/2024
B Maine	Agent	Approved	07/02/2024
B Massachusetts	Agent	Approved	12/02/2022
B Nevada	Agent	Approved	11/30/2023
B New Hampshire	Agent	Approved	12/14/2022
B North Carolina	Agent	Approved	12/06/2022
B South Carolina	Agent	Approved	12/16/2022

Branch Office Locations

KOVACK SECURITIES INC.

2527 Cranberry Highway
Wareham, MA 02571



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, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/19/2006

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/09/2008
B Uniform Securities Agent State Law Examination	Series 63	06/15/2006

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 03/2022 - 06/2022	SECURITIES AMERICA ADVISORS, INC.	110518	ROCKLAND, MA
B 03/2022 - 06/2022	SECURITIES AMERICA, INC.	10205	ROCKLAND, MA
IA 01/2018 - 03/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	ROCKLAND, MA
B 12/2017 - 03/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	ROCKLAND, MA
IA 11/2010 - 12/2017	INFINEX INVESTMENTS, INC.	35371	SOUTH WEYMOUTH, MA
B 11/2010 - 12/2017	INFINEX INVESTMENTS, INC.	35371	SOUTH WEYMOUTH, MA
IA 11/2008 - 11/2010	INVESTMENT PROFESSIONALS, INC.	30184	SHARON, MA
B 11/2008 - 11/2010	INVESTMENT PROFESSIONALS, INC.	30184	SHARON, MA
B 05/2006 - 11/2008	CITIGROUP GLOBAL MARKETS INC.	7059	HINGHAM, MA

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
07/2022 - Present	Kovack Advisors, Inc.	Financial Advisor	Y	Fort Lauderdale, FL, United States
07/2022 - Present	Kovack Securities, Inc.	Registered Representative	Y	Fort Lauderdale, FL, United States
03/2022 - Present	SECURITIES AMERICA, INC	REGISTERED REP	Y	ROCKLAND, MA, United States
03/2022 - 06/2022	SECURITIES AMERICA ADVISORS	IAR	Y	ROCKLAND, MA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2017 - 03/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	ROCKLAND, MA, United States
11/2010 - 12/2017	INFINEX INVESTMENTS, INC.	INVESTMENT EXECUTIVE	Y	QUINCY, MA, United States
11/2010 - 12/2017	SOUTH SHORE BANK	INVESTMENT EXECUTIVE	Y	QUINCY, MA, 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.

- 1) DBA - ROCKHAM FINANCIAL PARTNERS - 110 BATES WAY, HANOVER, MA 02339; INVESTMENT RELATED; BROKERAGE, ADVISORY AND INSURANCE; MANAGING PARTNER; 90% OF TIME SPENT.
- 2) BURKE FAMILY TRUST/ESTATE - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; TRUSTEE OF FAMILY TRUST AND PERSONAL REP FOR PARENTS ESTATE; TRUSTEE; 1% OF TIME SPENT.
- 3) NOTARY - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; NOTARIZE DOCUMENTS; NOTARY; 1% OF TIME SPENT.
- 4) HANOVER MA CHAMBER OF COMMERCE; 550 HANOVER STREET, HANOVER, MA 02339; CIVIC COMMITTEE WORK; BOARD MEMBER; 1% OF TIME SPENT.
- 5) BFHUA - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; HIGH SCHOOL HOCKEY OFFICIAL; UMPIRE; 1% OF TIME SPENT.
- 6) SUMMER RENTAL PROPERTY - 37 RENAS WAY, DENNIS, MA 02638; NON-INVESTMENT RELATED; PROPERTY MANAGEMNT; LANDLORD; 2% OF TIME SPENT.
- 7) SONNENRAIN MARKETING PARTNERS - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; MARKETING CONSULTANT; CONSULTANT; 2% OF TIME SPENT.
- 8) FIXED INSURANCE SALES - 2527 CRANBERRY HIGHWAY, WAREHAM, MA 02571; INVESTMENT RELATED; FIXED INSURANCE PRODUCTS; MANAGING PARTNER; 10 HOURS/MONTH OF TIME SPENT; 10 HOURS/MONTH SPENT DURING SECURITIES TRADING HOURS.
- 9) TAX RETURN PREPARATION - 2527 CRANBERRY HIGHWAY, WAREHAM, MA 02571; NON-INVESTMENT RELATED; TAX PREPARATION FOR INDIVIDUALS; TAX PREPARER; STATE DATE 3.1.2024; 20 HOURS/MONTH OF TIME SPENT ; LESS THAN 1% OF TIME SPENT DURING SECURITIES HOURS.

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
Regulatory Event	0	1	0
Termination	N/A	1	N/A



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.

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Other: Conditional Registration
Date Initiated:	12/02/2022
Docket/Case Number:	R-2022-0096
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Securities America, Inc. & Securities America Advisors, LLC
Product Type:	No Product
Allegations:	Due to recent disclosure incidents regarding performing a task for a client that should have been done by the client, sworn testimony before the Division in regard to his internal review and termination disclosures and FINRA's ongoing inquiry, the Division placed conditions on Burke's registration as a BD Agent of KSI and as an IAR of KAI in Massachusetts.
Current Status:	Final
Resolution:	Consent Order - Conditional Registration



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

12/02/2022

Sanctions Ordered:

Undertaking

Other: For a period of 18 months, KSI and KAI must supervise Burke on a heightened basis which must, at a minimum, include the following:

KSI and KAI Supervisor, Supervisor's successor, or a designee must on quarterly basis: (1) randomly select the greater of ten (10), or ten percent (10%), of Burke's Massachusetts customer accounts; (2) review all of Burke's emails, all documents requiring customer signature, and all requests requiring customer approval; (3) obtain and review a written statement, signed by Burke, in which Burke indicates that he has not identified himself as a customer and that he has maintained proper records of all calls with third parties;

The compliance department's annual audit must (1) be conducted on-site; (2) a mandatory review of the greater of ten (10) or ten percent (10%) of Burke's Massachusetts customer accounts by the compliance department; (3) An in-person interview with Burke; and (4) a mandatory review of Burke's personnel file to ensure compliance with this Order.

KSI must notify the Division of the result of FINRA's Review.

Reporting Source:

Broker

Regulatory Action Initiated By:

Massachusetts Securities Division

Sanction(s) Sought:

Other: Conditional Registration

Date Initiated:

12/02/2022

Docket/Case Number:

R-2022-0096

Employing firm when activity occurred which led to the regulatory action:

Securities America, Inc. & Securities America Advisors, LLC

Product Type:

No Product



Allegations:	Due to recent disclosure incidents regarding performing a task for a client that should have been done by the client, sworn testimony before the Division in regard to his internal review and termination disclosures and FINRA's ongoing inquiry, the Division placed conditions on Burke's registration as a BD Agent of KSI and as an IAR of KAI in Massachusetts.
Current Status:	Final
Resolution:	Consent Order - Conditional Registration
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/02/2022
Sanctions Ordered:	<p>Undertaking</p> <p>Other: For a period of 18 months, KSI and KAI must supervise Burke on a heightened basis which must, at a minimum, include the following: KSI and KAI Supervisor, Supervisor's successor, or a designee must on quarterly basis: (1) randomly select the greater of ten (10), or ten percent (10%), of Burke's Massachusetts customer accounts; (2) review all of Burke's emails, all documents requiring customer signature, and all requests requiring customer approval; (3) obtain and review a written statement, signed by Burke, in which Burke indicates that he has not identified himself as a customer and that he has maintained proper records of all calls with third parties; The compliance department's annual audit must (1) be conducted on-site; (2) a mandatory review of the greater of ten (10) or ten percent (10%) of Burke's Massachusetts customer accounts by the compliance department; (3) An in-person interview with Burke; and (4) a mandatory review of Burke's personnel file to ensure compliance with this Order. KSI must notify the Division of the result of FINRA's Review.</p>



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 1

Reporting Source:	Broker
Employer Name:	SECURITIES AMERICA, INC.
Termination Type:	Permitted to Resign
Termination Date:	05/26/2022
Allegations:	FP performed a task for a client that should have been done by the client. The client was aware, approved the activity not realizing it was a violation. No harm done.
Product Type:	Mutual Fund

End of Report



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