BrokerCheck Report

CATHY HALL COUCH

CRD# 5276791

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.

CATHY H. COUCH

CRD# 5276791

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

B **DEMPSEY LORD SMITH, LLC**
900 OLD DAWSON VILLAGE ROAD
EAST
SUITE 110
DAWSONVILLE, GA 30534
CRD# 141238
Registered with this firm since: 08/26/2017

IA **DEMPSEY LORD SMITH, LLC**
900 OLD DAWSON VILLAGE ROAD
EAST
SUITE 110
DAWSONVILLE, GA 30534
CRD# 141238
Registered with this firm since: 08/30/2017

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
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

IA **WFG ADVISORS, LP**
CRD# 125073
DALLAS, TX
03/2010 - 08/2017

B **WFG INVESTMENTS, INC.**
CRD# 22704
DAWSONVILLE, GA
08/2008 - 08/2017

B **TRIAD ADVISORS, INC.**
CRD# 25803
DAWSONVILLE, GA
01/2008 - 07/2008

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**

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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 individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **DEMPSEY LORD SMITH, LLC**

Main Office Address: **901 N BROAD STREET**
SUITE 400
ROME, GA 30161

Firm CRD#: **141238**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	08/26/2017

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	08/26/2017
IA	Georgia	Investment Adviser Representative	Approved	08/30/2017

Branch Office Locations

DEMPSEY LORD SMITH, LLC
900 OLD DAWSON VILLAGE ROAD EAST
SUITE 110
DAWSONVILLE, GA 30534

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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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

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	01/15/2008

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	10/29/2008

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
IA	03/2010 - 08/2017	WFG ADVISORS, LP	125073	DAWSONVILLE, GA
B	08/2008 - 08/2017	WFG INVESTMENTS, INC.	22704	DAWSONVILLE, GA
B	01/2008 - 07/2008	TRIAD ADVISORS, INC.	25803	DAWSONVILLE, 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
08/2017 - Present	DEMPSEY LORD SMITH, LLC	REGISTERED ASSISTANT	Y	ROME, GA, United States
08/2008 - 08/2017	WFG INVESTMENT INC	REGISTERED ASSISTANT	Y	DAWSONVILLE, GA, 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.

TIM COUCH PC CPA, NOT INVESTMENT RELATED, 900 OLD DAWSON VILLAGE RD SUITE 110 DAWSON VILLE GA 30534 ACCOUNTING AND TAX FIRM. ACCOUNTANT 10/2006 START DATE WORKED ALSO FROM 1988-2003 35 HRS/MO 4 HRS DURING TRADING DAY, PREPARE TAX RETURN, ADMINISTRATIVE DUTIES. 2) Old Dawson Village Condominium Association, non inv related, 900 Old Dawson Village Rd Ste 110 Dawsonville GA 30534, condominium association, Treasurer, 09/24/2015, 2 hrs/mo, 0hrs/mo during trading hours, pay bills and run reports.

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End of Report

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