



## IAPD Report

# THOMAS RALPH HOKR

CRD# 1194034

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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.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### THOMAS RALPH HOKR (CRD# 1194034)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	MHS ADVISORY SERVICES, LLC	CRD# 174590	01/28/2015
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	SIGNATOR INVESTORS, INC.	468	Minnetonka, MN	12/04/2015 - 11/02/2018
<b>B</b>	SIGNATOR INVESTORS, INC.	468	Minnetonka, MN	03/06/2015 - 11/02/2018
<b>IA</b>	THE CAPITAL ADVISORY GROUP ADVISORY SERVICES, LLC	140551	BLOOMINGTON, MN	01/15/2014 - 04/15/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **23** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **MHS ADVISORY SERVICES, LLC**  
Main Address: 11330 86TH AVENUE NORTH  
MAPLE GROVE, MN 55369  
Firm ID#: 174590

Regulator	Registration	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	01/28/2015
IA Texas	Investment Adviser Representative	Restricted Approval	07/22/2025

#### Branch Office Locations

**MHS ADVISORY SERVICES, LLC**  
11330 86TH AVENUE NORTH  
MAPLE GROVE, MN 55369

#### Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/02/2018
B FINRA	General Securities Representative	Approved	11/02/2018
B FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B Arizona	Agent	Approved	11/02/2018
B Arkansas	Agent	Approved	01/09/2020



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> California	Agent	Approved	11/02/2018
<b>IA</b> California	Investment Adviser Representative	Approved	11/02/2018
<b>B</b> Colorado	Agent	Approved	01/09/2020
<b>B</b> Florida	Agent	Approved	11/02/2018
<b>B</b> Hawaii	Agent	Approved	01/17/2020
<b>B</b> Illinois	Agent	Approved	02/10/2020
<b>B</b> Indiana	Agent	Approved	08/31/2022
<b>B</b> Iowa	Agent	Approved	01/13/2020
<b>B</b> Maryland	Agent	Approved	01/09/2020
<b>B</b> Massachusetts	Agent	Approved	01/10/2020
<b>B</b> Michigan	Agent	Approved	11/02/2018
<b>B</b> Minnesota	Agent	Approved	11/02/2018
<b>IA</b> Minnesota	Investment Adviser Representative	Approved	11/07/2018
<b>B</b> Nevada	Agent	Approved	01/27/2020
<b>B</b> New Jersey	Agent	Approved	01/09/2020
<b>B</b> North Carolina	Agent	Approved	08/01/2022
<b>B</b> North Dakota	Agent	Approved	03/02/2020
<b>B</b> Ohio	Agent	Approved	05/12/2021
<b>B</b> South Dakota	Agent	Approved	01/10/2020



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	11/02/2018
<b>B</b> Virginia	Agent	Approved	01/09/2020
<b>B</b> Washington	Agent	Approved	10/01/2020
<b>B</b> Wisconsin	Agent	Approved	11/02/2018

### Branch Office Locations

**OSAIC WEALTH, INC.**  
10900 Wayzata Blvd  
Suite 130  
Minnetonka, MN 55305

**OSAIC WEALTH, INC.**  
11330 86th AVE N  
MAPLE GROVE, MN 55369



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	02/20/2001

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/08/1993
Direct Participation Programs Representative Examination (S22)	Series 22	06/08/1984
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/28/1984

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	02/07/2011
Uniform Securities Agent State Law Examination (S63)	Series 63	03/23/1984

### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Consultant

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 & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/04/2015 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	Minnetonka, MN
B	03/06/2015 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	Minnetonka, MN
IA	01/15/2014 - 04/15/2015	THE CAPITAL ADVISORY GROUP ADVISORY SERVICES, LLC	CRD# 140551	BLOOMINGTON, MN
IA	09/16/2010 - 03/11/2015	INVESTORS CAPITAL ADVISORY	CRD# 30613	BLOOMINGTON, MN
B	09/15/2010 - 03/11/2015	INVESTORS CAPITAL CORP.	CRD# 30613	BLOOMINGTON, MN
IA	03/06/2015 - 03/06/2015	SIGNATOR INVESTORS, INC.	CRD# 468	Minnetonka, MN
B	03/07/1995 - 09/27/2010	LPL FINANCIAL CORPORATION	CRD# 6413	MAPLE GROVE, MN
B	09/23/1993 - 03/08/1995	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	03/05/1990 - 10/11/1993	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	02/29/1984 - 03/14/1990	CIGNA SECURITIES, INC.	CRD# 145	
B	02/28/1984 - 03/14/1990	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, PA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2018 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	Registered Rep.	Y	MAPLE GROVE, MN, United States
03/2015 - Present	MHS ADVISORY SERVICES, LLC	INVESTMENT ADVISER REP.	Y	MAPLE GROVE, MN, United States
03/2015 - Present	MHS Insurance Agency	Owner	Y	Minnetonka, MN, United States
02/2015 - 11/2018	SII	REG REP	Y	MINNEAPOLIS, MN, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. MHS ADVISORY SERVICES

POSITION: CEO NATURE: MHS Advisory Services is an LLC Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 03/01/2015  
ADDRESS: 11330 86th Ave N, Maple Grove, MN 55369  
DESCRIPTION: Insurance and Investment Sales

#### 2. MHS INSURANCE AGENCY

POSITION: CEO NATURE: MHS Insurance Agency is an LLC Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 03/01/2015  
ADDRESS: 11330 86th Ave N, Maple Grove MN 55369  
DESCRIPTION: Insurance sales

#### 3. BOARD MEMBER WEAVER LAKE TOWN OFFICE PARK

POSITION: Board Member NATURE: Town Office Association of small business owners in Office Condos INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 06/01/2016  
ADDRESS: 56 East Broadway Ave, Forest Lake MN 55025  
DESCRIPTION: Board President - conduct Board meetings  
Gaughan Companies is the Property Manager responsible for Financial matters and Association Contracts with contractors, and maintaining meeting minutes

#### 4. THOMAS R HOKR & ASSOCIATES, INC.

POSITION: President NATURE: Thomas R Hokr & Associates, Inc. is a C-Corporation for Accounting purposes. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/15/1991  
ADDRESS: 11330 86th Ave N, Maple Grove MN 55369  
DESCRIPTION: Thomas R. Hokr & Associates, Inc. is a Corporation for Accounting Purposes. All revenues flow from required personal registrations and are moved into MHS Advisory Group, the Holding company.  
My business hours are conducted through MHS Advisory Group.

#### 5. TMKR INVESTMENTS, LLC

POSITION: President - Treasurer - Secretary NATURE: Single Member LLC that holds property in Rogers, MN INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/31/2019  
ADDRESS: 11330 86th Ave N, Maple Grove MN 55369  
DESCRIPTION: Pay property taxes

#### 6. RKMT PROPERTIES, LLC

POSITION: Vice President NATURE: Sole Member LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/31/2019  
ADDRESS: 11330 86th Ave N, Maple Grove, MN 55369  
DESCRIPTION: Communicate with the President - Mary K Hokr (wife)- who is the Sole Member owner

#### 7. MN VETERANS PANTRY

POSITION: Board Member NATURE: 501(c)3 Non-profit INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 11/11/2024  
ADDRESS: 4979 Olson Memorial Hwy, Ste 101, Golden Valley MN 55422  
DESCRIPTION: Plans to have three board meetings throughout the calendar year. I plan to attend the Board meetings.

#### 8. Glen Edin Homeowners Association (1)

POSITION: President NATURE: Homeowners Association is a non-profit organization INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 1 START DATE: 07/01/2025



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

ADDRESS: P O Box 43218, Brooklyn Park, MN 55443

DESCRIPTION: As President - I would conduct Monthly Board meetings - review maintenance and financial affairs



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LINSKO PRIVATE LEDGER

**Allegations:** CUSTOMER ALLEGED THAT INSTRUCTION DURING THE SUMMER OF 2000 TO LIQUIDATE MUTUAL FUNDS IF THEY REACHED VALUE OF \$163,000.00 WAS NOT FOLLOWED, AND THAT INVESTMENTS WERE UNSUITABLE FOR INVESTMENT OBJECTIVES. REPRESENTATIVE DENIED ALLEGATIONS, NOTING THAT CUSTOMER HAD REQUESTED MORE AGGRESSIVE INVESTMENTS IN DECEMBER 1999, AND THAT SHE REQUESTED NO CHANGES IN INVESTMENTS WHEN ACCOUNT WAS VALUED AT \$ 171,000.00 IN SEPTEMBER 2000. CLAIM HAS BEEN DENIED.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$48,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/04/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/16/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLAIM HAS BEEN DENIED



**Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** Plaintiff alleges fraud, negligence and misrepresentation.

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** 298485

**Date Notice/Process Served:** 01/31/1994

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/01/1994

**Monetary Compensation Amount:** \$11,000.00

**Individual Contribution Amount:**

**Firm Statement** Settlement agreement was entered into to avoid the expense and burden of litigation and not as an admission of liability. Settlement Amount: \$11,000.00  
Not Provided

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** PLAINTIFF ALLEGES FRAUD, NEGLIGENCE, AND MISREPRESENTATION

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**



**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** 298485

**Date Notice/Process Served:** 01/31/1994

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/01/1994

**Monetary Compensation Amount:** \$11,000.00

**Individual Contribution Amount:**

**Broker Statement**

SETTLEMENT AGREEMENT WAS ENTERED INTO TO AVOID THE EXPENSE AND BURDEN OF LITIGATION AND NOT AS AN ADMISSION OF LIABILITY. SETTLEMENT WAS FOR \$11,000.00  
Not Provided



## End of Report

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