



IAPD Report

THOMAS JOSEPH SHEEHAN JR

CRD# 1221416

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7
Disclosure Information	8



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 JOSEPH SHEEHAN JR (CRD# 1221416)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	&PARTNERS	CRD# 3767	11/08/1995
IA	&PARTNERS	CRD# 3767	11/29/2006

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	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	09/17/1990 - 11/22/1995
B	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY	08/25/1989 - 09/28/1990
B	THOMSON MCKINNON SECURITIES INC.	829	NEW YORK, NY	09/16/1987 - 08/25/1989

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
Regulatory Event	1
Termination	1



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 1

Firm Name: **&PARTNERS**
Main Address: 40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
Firm ID#: 3767

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/08/1995
B	Alabama	Agent	Approved	11/29/1995
IA	Alabama	Investment Adviser Representative	Approved	03/01/2018
B	Arizona	Agent	Approved	09/21/2016
IA	Arizona	Investment Adviser Representative	Approved	10/16/2018
B	California	Agent	Approved	06/06/2017
IA	California	Investment Adviser Representative	Approved	12/15/2023
B	Colorado	Agent	Approved	12/03/2018
B	District of Columbia	Agent	Approved	01/24/2024
B	Florida	Agent	Approved	09/24/1997
IA	Florida	Investment Adviser Representative	Approved	03/06/2018
B	Georgia	Agent	Approved	03/17/2021
B	Illinois	Agent	Approved	02/19/1997



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	04/12/2011
B	Kentucky	Agent	Approved	11/28/1995
B	Louisiana	Agent	Approved	02/10/2023
B	Maryland	Agent	Approved	03/20/2002
B	Michigan	Agent	Approved	10/04/2004
B	Missouri	Agent	Approved	06/08/2017
B	Montana	Agent	Approved	03/01/2018
B	New Jersey	Agent	Approved	06/02/2011
B	New York	Agent	Approved	12/01/2000
B	North Carolina	Agent	Approved	06/26/2017
B	Ohio	Agent	Approved	10/05/2004
B	Oklahoma	Agent	Approved	10/05/2004
IA	Oklahoma	Investment Adviser Representative	Approved	10/12/2018
B	Tennessee	Agent	Approved	11/22/1995
IA	Tennessee	Investment Adviser Representative	Approved	12/07/2006
B	Texas	Agent	Approved	11/24/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	11/29/2006
B	Virginia	Agent	Approved	10/04/2004



Qualifications

Branch Office Locations

&PARTNERS

40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215



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 0 principal/supervisory exams, 5 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	10/17/1987
B Municipal Securities Representative Examination (S52)	Series 52	10/03/1986
B Direct Participation Programs Representative Examination (S22)	Series 22	04/11/1984
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/13/1983

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/06/2006
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/1997
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/1984



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/17/1990 - 11/22/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/25/1989 - 09/28/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	09/16/1987 - 08/25/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY
B	03/04/1986 - 09/16/1987	BRENNER STEED, INC.	CRD# 7103	
B	12/14/1983 - 03/31/1986	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

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
11/1995 - Present	WILEY BROS.-AINTREE CAPITAL, LLC	NOT PROVIDED	Y	NASHVILLE, TN, United States

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.

No information reported.



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
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/09/1996

Docket/Case Number: C05960053

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/09/1996

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

ON OCTOBER 9, 1996, DISTRICT NO. 5 NOTIFIED THOMAS J. SHEEHAN, JR. THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05960053 WAS ACCEPTED; THEREFORE, RESPONDENT SHEEHAN IS CENSURED AND FINED \$2,500 - (NASD RULES 2110 AND 2510 (FORMERLY ARTICLE III, SECTIONS 1 AND 15(b) OF THE RULES OF FAIR PRACTICE) - RESPONDENT SHEEHAN EXERCISED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMER AND PRIOR WRITTEN ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY BY HIS MEMBER FIRM).

****\$2,500.00 PAID ON 10/29/96, INVOICE #96-05-786****

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Reporting Source:

Individual

Regulatory Action Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

10/09/1996

Docket/Case Number:

C05960053

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

THAT I HAD EFFECTED UNAUTHORIZED TRANSACTIONS ON BEHALF OF A NON-DISCRETIONARY CUSTOMER ACCOUNT.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

10/09/1996

Sanctions Ordered:

Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:**Sanction Details:**

A CENSURE AND A MONETARY FINE IN THE AMOUNT OF \$2,500.00

Broker Statement

THE NASD FINDINGS WERE THAT, ON OR ABOUT 10/24/95 AND 10/26/95, I EXECUTED TWO SALE TRANSACTIONS ON BEHALF OF A CUSTOMER ACCOUNT WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE SUBJECT CUSTOMER AND PRIOR WRITTEN ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY BY MY EMPLOYER MEMBER FIRM. THE CUSTOMER DID NOT FILE A COMPLAINT. BASED ON ITS FINDINGS, THE NASD SANCTIONED ME AS DESCRIBED IN ITEM 8.C.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	PAINE WEBBER INC.
Termination Type:	Discharged
Termination Date:	11/01/1995
Allegations:	N/A MAKING TWO UNAUTHORIZED TRADES ON BEHALF OF A CUSTOMER IN A NON-DISCRETIONARY ACCOUNT.
Product Type:	
Other Product Types:	
Broker Statement	NO CUSTOMER COMPLAINT HAS BEEN FILED WHEN SHE OPENED HER ACCOUNT, THE CUSTOMER INSTRUCTED ME THAT, BECAUSE SHE TRAVELED ALOT, IF I EVER HAD TROUBLE REACHING HER BY TELEPHONE I WAS TO REACH HER BY TELEPHONE SEVERAL TIMES (SHE WAS TRAVELING OUT OF THE COUNTRY), I LIQUIDATED HER POSITIONS IN PLAYTEX INC. AND DIGITAL EQUIPMENT. THE PRICE OF BOTH STOCKS DROPPED AFTER THESE TRADES. WHEN SHE RETURNED TO TOWN SHE CALLED TO ASK ABOUT THESE TRADES; SHE SEEMED PLEASED WITH THE DIGITAL TRADE BUT ASKED THAT I RECONFIRM THE PLAYTEX TRADE WITH NO COMMISSION, WHICH I DID. SHE DID NOT WISH TO CANCEL THE TRANSACTIONS AND DID NOT FILE A COMPLAINT. I WROTE HER A LETTER TO DOCUMENT WHAT HAD OCCURRED, AND WAS FIRED BY MY BRANCH MGR. WHEN HE REVIEWED THE LETTER.



End of Report

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