



## IAPD Report

# THOMAS JUDE SEMMES HUGHS

CRD# 1250491

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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 JUDE SEMMES HUGHS (CRD# 1250491)

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
IA	SMITH SECURITIES LLC	CRD# 288886	12/08/2025

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	CONSORTIUM PRIVATE WEALTH LLC	325038	SLIDELL, LA	01/18/2024 - 12/09/2025
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Metairie, LA	06/17/2019 - 05/05/2020
B	PRUCO SECURITIES, LLC.	5685	Metairie, LA	05/28/2019 - 05/05/2020

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
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **SMITH SECURITIES LLC**  
Main Address: COVINGTON, LA  
Firm ID#: 288886

Regulator	Registration	Status	Date
<b>IA</b> Louisiana	Investment Adviser Representative	Approved	12/08/2025

#### Branch Office Locations

**SMITH SECURITIES LLC**  
COVINGTON, LA



## 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, 4 general industry/product exams, and 2 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/29/1999
 Direct Participation Programs Representative Examination (S22)	Series 22	10/12/1984
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/19/1984

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/31/2002

### PROFESSIONAL DESIGNATIONS

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

No information reported.



### 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	01/18/2024 - 12/09/2025	CONSORTIUM PRIVATE WEALTH LLC	CRD# 325038	SLIDELL, LA
IA	06/17/2019 - 05/05/2020	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Metairie, LA
B	05/28/2019 - 05/05/2020	PRUCO SECURITIES, LLC.	CRD# 5685	Metairie, LA
IA	10/22/2018 - 06/04/2019	BANKERS LIFE ADVISORY SERVICES, INC.	CRD# 281285	Baton Rouge, LA
B	10/22/2018 - 06/04/2019	BANKERS LIFE SECURITIES, INC.	CRD# 173962	Baton Rouge, LA
IA	08/16/2017 - 10/08/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	METAIRIE, LA
B	07/24/2017 - 10/08/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	METAIRIE, LA
IA	07/16/2015 - 06/30/2017	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	MADISONVILLE, LA
B	04/14/2015 - 06/30/2017	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	MADISONVILLE, LA
B	04/08/2013 - 12/02/2014	HANCOCK INVESTMENT SERVICES, INC.	CRD# 40637	NEW ORLEANS, LA
IA	04/08/2013 - 12/02/2014	HANCOCK INVESTMENT SERVICES, INC.	CRD# 40637	NEW ORLEANS, LA
IA	10/29/2012 - 04/03/2013	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	METAIRIE, LA
B	10/15/2012 - 04/03/2013	PRUCO SECURITIES, LLC.	CRD# 5685	METAIRIE, LA
B	08/07/2012 - 10/08/2012	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
IA	07/09/2010 - 08/06/2012	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	METAIRIE, LA
B	12/09/2009 - 08/06/2012	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	METAIRIE, LA
B	07/23/2008 - 12/02/2009	METLIFE INVESTORS DISTRIBUTION COMPANY	CRD# 107622	NEW YORK CITY, NY



## 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	11/12/2007 - 06/04/2008	TRANSAMERICA CAPITAL, INC.	CRD# 8217	DENVER, CO
B	12/19/2002 - 11/01/2007	SUN LIFE FINANCIAL DISTRIBUTORS, INC.	CRD# 5496	WELLESLEY HILLS, MA
B	09/10/2001 - 11/11/2002	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	01/03/2001 - 07/27/2001	INTERLINK SECURITIES CORP.	CRD# 30505	WOODLAND HILLS, CA
B	09/08/1998 - 12/04/2000	AFD, INC.	CRD# 34047	NORTHBROOK, IL
B	08/23/1993 - 12/15/1997	HANOVER INVESTMENT SECURITIES, INC.	CRD# 10983	MADISONVILLE, LA
B	08/19/1992 - 02/16/1993	MANEQUITY, INC.	CRD# 5249	BOSTON, MA
B	06/06/1989 - 02/04/1992	F & G SECURITIES, INC.	CRD# 16364	
B	06/20/1984 - 07/08/1989	W. S. GRIFFITH & CO., INC.	CRD# 10410	

### 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
12/2025 - Present	Smith Securities LLC	IAR	Y	Covington, LA, United States
01/2024 - 12/2025	CONSORTIUM PRIVATE WEALTH LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MANDEVILLE, LA, United States
04/2020 - 08/2025	THE CONSORTIUM, LLC	ASSOCIATE GENERAL AGENT	N	MANDEVILLE, LA, United States
05/2019 - 04/2020	PRUCO Securities, LLC	Registered Representative	Y	Metairie, LA, United States
05/2019 - 04/2020	The Prudential Insurance Company of America	Financial Professional	N	Metairie, LA, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2018 - 05/2019	Bankers Life & Casualty	Agent	N	Baton Rouge, LA, United States
10/2018 - 05/2019	Bankers Life Securities	Registered Rep	Y	Baton Rouge, LA, United States
07/2017 - 09/2018	MML INVESTORS SERVICES, LLC	Registered Rep	Y	Metairie, LA, United States
07/2017 - 09/2018	MassMutual Life insurance Company	Agent	Y	Metairie, LA, United States
11/2014 - 07/2017	SELF EMPLOYED	INSURANCE AGENT	N	MADISONVILLE, LA, United States
04/2015 - 06/2017	HORNOR TOWNSEND & KENT INC	REGISTERED REPRESENTATIVE	Y	HORSHAM, PA, United States
04/2015 - 06/2017	PENN MUTUAL LIFE INS CO	AGENT	Y	HORSHAM, PA, 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.

**ARTHUR J. GALLAGHER**

POSITION: INSURANCE SALES AGENT; NATURE: LIFE AND HEALTH INSURANCE AND MEDICAL SUPPLEMENTS; INVESTMENT RELATED: NO; NUMBER OF HOURS: 2; SECURITIES TRADING HOURS: 2; START DATE: 05/01/2013 ADDRESS: 111 VETERANS BLVD., SUITE 1130, METAIRIE LA 70005, UNITED STATES DESCRIPTION: HAS A BROKER AGREEMENT WITH ARTHUR J. GALLAGHER TO SELL GROUP HEALTH INSURANCE, SELLS LIFE AND HEALTH INSURANCE, RECEIVES RENEWAL COMMISSIONS

**T. J. SEMMES HUGHS**

POSITION: SELF-EMPLOYED LIFE INSURANCE AGENT; NATURE: LIFE INSURANCE AND MEDICARE SUPPLEMENTS; INVESTMENT RELATED: NO; NUMBER OF HOURS: 200; SECURITIES TRADING HOURS: 6; START DATE: 05/01/1983 ADDRESS: 212 TCHEFUNCTE PARC CT., MADISONVILLE, LA 70447, UNITED STATES DESCRIPTION: SELF-EMPLOYED LIFE INSURANCE EARNING COMMISSIONS FROM LIFE INSURANCE PRODUCTS AND SELLING MEDICARE SUPPLEMENTS

**LE MOYNE DE BIENVILLE CLUB**

POSITION: board member NATURE: Social/lunch club INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1985 ADDRESS: 666 Gravier St., New Orleans LA 70130, United States DESCRIPTION: BOARD MEMBER, ATTENDS MEETINGS TO OVERSEE THE CLUB ACTIVITIES. I DON'T HANDLE ANY FUNDS OF THE CLUB.

**THE IRIS CLUB**

POSITION: Secretary and board member NATURE: Non-Profit Mardi Gras Social Club INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 04/01/1987



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

ADDRESS: 666 Gravier St., New Orleans LA 70130, United States

DESCRIPTION: RECORDING MINUTES FOR THE ORGANIZATING, NO COLLECTING OR RAISING FUNDS, NO MANAGEMENT OF MONIES

MYSTIC KREWE OF OLYMPIA

POSITION: board member NATURE: Non Profit Mardi Gras social organization INVESTMENT RELATED: No NUMBER OF

HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/01/2004

ADDRESS: 428 E. BOSTON, COVINGTON, LA 70433

DESCRIPTION: ATTENDS MEETINGS TO OVERSEE THE ORGANIZATIONAL ACTIVITIES. I DON'T HANDLE ANY FUNDS OF THE ORGANIZATION.



## 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
Termination	1

### 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:** Firm

**Firm Name:** Pruco Securities, LLC

**Termination Type:** Discharged

**Termination Date:** 04/13/2020

**Allegations:** Registered Representative submitted policy delivery documents for a life application with a non-genuine client signature.

**Product Type:** Other: Life

**Reporting Source:** Individual

**Firm Name:** PRUCO SECURITIES, LLC.

**Termination Type:** Discharged

**Termination Date:** 04/13/2020

**Allegations:** Registered Representative submitted policy delivery documents for a life application with a non-genuine client signature.

**Product Type:** Other: Life



## End of Report

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