



## IAPD Report

# GEORGE THOMAS CONBOY

CRD# 1283395

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
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

### GEORGE THOMAS CONBOY (CRD# 1283395)

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 **01/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	BRIGHTON SECURITIES CORP.	CRD# 3875	06/28/1988
<b>IA</b>	BRIGHTON SECURITIES CORP.	CRD# 3875	05/23/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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>	BRIGHTON FINANCIAL PLANNING	3875	ROCHESTER, NY	02/24/2004 - 07/12/2006
<b>B</b>	SHEARSON LEHMAN HUTTON INC.	7506	ROCHESTER, NY	04/11/1988 - 05/28/1988
<b>B</b>	E. F. HUTTON & COMPANY INC	235	ROCHESTER, NY	07/26/1984 - 04/11/1988

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

### Employment 1 of 1

Firm Name: **BRIGHTON SECURITIES CORP.**

Main Address: 1703 MONROE AVENUE  
ROCHESTER, NY 14618

Firm ID#: 3875

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	06/28/1988
	FINRA	General Securities Principal	Approved	05/23/1995
	FINRA	Municipal Fund	Approved	03/21/2003
	FINRA	Municipal Securities Principal	Approved	03/26/2003
	FINRA	Municipal Securities Representative	Approved	03/26/2003
	FINRA	Registered Options Principal	Approved	06/30/2011
	FINRA	Operations Professional	Approved	10/31/2011
	FINRA	Securities Trader	Approved	01/04/2016
	Alabama	Agent	Approved	01/26/2011
	Arizona	Agent	Approved	12/12/2019
	California	Agent	Approved	11/15/1996
	Colorado	Agent	Approved	02/18/2009
	Connecticut	Agent	Approved	01/08/2003



## Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	01/24/1997
B	Georgia	Agent	Approved	10/30/2002
B	Illinois	Agent	Approved	03/26/2012
B	Kentucky	Agent	Approved	11/13/2025
B	Maine	Agent	Approved	09/09/2016
B	Maryland	Agent	Approved	09/09/2004
B	Massachusetts	Agent	Approved	03/07/1997
B	Michigan	Agent	Approved	02/22/2018
IA	Michigan	Investment Adviser Representative	Approved	01/23/2024
B	New Jersey	Agent	Approved	06/15/2020
B	New York	Agent	Approved	07/27/1988
IA	New York	Investment Adviser Representative	Approved	05/23/2021
B	North Carolina	Agent	Approved	07/07/2025
B	Ohio	Agent	Approved	04/01/2010
B	Oklahoma	Agent	Approved	01/14/2026
B	Pennsylvania	Agent	Approved	01/27/2017
B	Rhode Island	Agent	Approved	10/28/2005
B	South Carolina	Agent	Approved	06/24/2020



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	02/10/2004
<b>B</b> Virginia	Agent	Approved	03/29/2001

## Branch Office Locations

**BRIGHTON SECURITIES CORP.**  
1703 MONROE AVENUE  
ROCHESTER, NY 14618-1487

**BRIGHTON SECURITIES CORP.**  
1703 MONROE AVENUE  
ROCHESTER, NY 14618

**BRIGHTON SECURITIES CORP.**  
212 EAST MAIN STREET  
BATAVIA, NY 14020







## 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 4 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	Registered Options Principal Examination (S4)	Series 4	06/29/2011
	Municipal Securities Principal Examination (S53)	Series 53	03/24/2003
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/20/2003
	General Securities Principal Examination (S24)	Series 24	05/22/1995

#### General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/25/1999
	National Commodity Futures Examination (S3)	Series 3	08/31/1984
	General Securities Representative Examination (S7)	Series 7	07/21/1984



## Qualifications



### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam		Category	Date	
IA	B	Uniform Combined State Law Examination (S66)	Series 66	03/25/2023
	B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/23/1984



### 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	02/24/2004 - 07/12/2006	BRIGHTON FINANCIAL PLANNING	CRD# 3875	ROCHESTER, NY
B	04/11/1988 - 05/28/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	07/26/1984 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

### 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
06/1988 - Present	BRIGHTON SECURITIES CORP.	NOT PROVIDED	Y	ROCHESTER, NY, 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:** NASD

**Sanction(s) Sought:**

**Date Initiated:** 08/15/2006

**Docket/Case Number:** [E9B2005001701](#)

**Employing firm when activity occurred which led to the regulatory action:** BRIGHTON SECURITIES CORP.

**Product Type:** No Product

**Allegations:** NASD RULES 1021 AND 2110: CONBOY, ACTING ON BEHALF OF THE FIRM, FAILED TO ENSURE THAT THE FIRM HAD A PROPERLY DESIGNATED LIMITED PRINCIPAL-INTRODUCING BROKER/DEALER FINANCIAL AND OPERATIONS. THE FIRM OPERATED ITS BUSINESS AS AN INTRODUCING FIRM AND CLAIMED AN EXEMPTION UNDER SECTION 15 OF THE SECURITIES EXCHANGE ACT OF 1934, RULE 15C3-3(K)(2)(I) THEREUNDER, WHICH PROHIBITS THE RECEIPT OF CUSTOMER FUNDS AND/OR SECURITIES, HOWEVER, CONBOY, ACTING ON BEHALF OF THE FIRM, FAILED TO COMPLY WITH CLAIMED EXEMPTION IN THAT THE FIRM HELD PUBLIC CUSTOMERS' FUNDS IN ITS GENERAL BANK ACCOUNT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)



**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:** 08/15/2006

**Sanctions Ordered:** Censure  
Civil and Administrative Penalty(ies)/Fine(s)

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$15,000 JOINTLY AND SEVERALLY. FINES PAID.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:**

**Date Initiated:** 08/15/2006

**Docket/Case Number:** [E9B2005001701](#)

**Employing firm when activity occurred which led to the regulatory action:** BRIGHTON SECURITIES CORP.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULES 1021 AND 2110: CONBOY, ACTING ON BEHALF OF THE FIRM, FAILED TO ENSURE THAT THE FIRM HAD A PROPERLY DESIGNATED LIMITED PRINCIPAL-INTRODUCING BROKER/DEALER FINANCIAL AND OPERATIONS. THE FIRM OPERATED ITS BUSINESS AS AN INTRODUCING FIRM AND CLAIMED AN EXEMPTION UNDER SECTION 15 OF THE SECURITIES EXCHANGE ACT OF 1934, RULE 15C3-3(K)(2)(I) THEREUNDER, WHICH PROHIBITS THE RECEIPT OF CUSTOMER FUNDS AND/OR SECURITIES, HOWEVER, CONBOY, ACTING ON BEHALF OF THE FIRM, FAILED TO COMPLY WITH CLAIMED EXEMPTION IN THAT THE FIRM HELD PUBLIC CUSTOMERS' FUNDS IN ITS GENERAL BANK ACCOUNT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 08/15/2006

**Sanctions Ordered:** Censure  
Monetary/Fine \$15,000.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$15,000 JOINTLY AND SEVERALLY.

**Broker Statement**

THE SANCTION RESULTED FROM TWO RULE VIOLATIONS. THE FIRST WAS THAT I DID NOT ENSURE THAT OUR FIRM HAD A DESIGNATED FINANCIAL & OPERATIONS PROFESSIONAL (FINOP). OUR FIRM WAS FOUNDED IN 1969 BY AN INDIVIDUAL WHO STARTED IN THE SECURITIES INDUSTRY IN 1961, AND WHO HAD NOT BEEN REQUIRED TO OBTAIN SEPARATELY THE FINOP LICENSE DUE TO HIS "GRANDFATHERED" STATUS. WHEN HE DIED IN LATE 2002 THE EXEMPTION FROM HAVING A SEPARATE FINOP LAPSED. I FAILED TO NOTE THIS LAPSE, AS DID THE AUDITORS DURING OUR 2003 EXAMINATION.

THE SECOND VIOLATION WAS DUE TO A WELL-INTENTIONED BUT NONETHELESS INCORRECT PROCEDURE FOR HANDLING CERTAIN CLIENT ACCOUNT TRANSACTIONS SPECIFIC TO SMALL-COMPANY RETIREMENT PLANS. OUR FIRM WOULD RECEIVE A CHECK FROM A CLIENT COMPANY FOR ITS EMPLOYEE RETIREMENT CONTRIBUTIONS TO VARIOUS MUTUAL FUNDS. WE WOULD DEPOSIT THE CHECK WHILE SIMULTANEOUSLY ISSUING OUT CHECKS TO VARIOUS MUTUAL FUNDS INVOLVED. IT WAS THE INTENT OF OUR OPERATIONS STAFF THAT BOTH DEPOSIT AND REMITTANCE WOULD BE MADE ON THE SAME DAY TO PREVENT OUR HOLDING CLIENT FUNDS, BUT MY FAILURE TO INSIST THAT OUR STAFF USE THE 15C3-3(K)(2)(I) ACCOUNT RESULTED IN THIS VIOLATION.



## 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:** CARVEL ICE CREAM  
**Termination Type:** Permitted to Resign  
**Termination Date:** 10/01/1983

**Allegations:**

**Product Type:**

**Other Product Types:**

**Broker Statement** WHILE CONBOY WAS IN COLLEGE (IN ORDER TO FINANCE HIS TUITION AND OTHER COSTS), HE HAD A PART TIME JOB AT CARVEL ICE CREAM IN IRONDEQUOIT, NEW YORK, ALONG WITH SEVERAL OTHER ODD-JOBS THAT HE PICKED UP FROM TIME TO TIME. HE WORKED AT CARVEL BETWEEN JUNE 1982 AND OCTOBER 1983, MOSTLY IN THE EVENINGS, SERVING CUSTOMERS AND WORKING THE CASH REGISTER. THE NAME OF THE PROPRIETOR AT THAT STORE WAS WALTER SILVERMAN. CONBOY TOOK CASH FROM THE REGISTER FOR HIS PERSONAL USE WITHOUT IMMEDIATE REPAYMENT. HE LATER BORROWED MONEY FROM HIS FATHER AND REPAYED THE CASH. BECAUSE HE ULTIMATELY REPAYED THE CASH, CARVEL PERMITTED HIM TO RESIGN FROM HIS JOB. NEITHER CIVIL LITIGATION NOR CRIMINAL CHARGES WERE EVER BROUGHT AGAINST HIM AS A RESULT. IN FACT, THE PROPRIETOR OF ANOTHER CARVEL STORE WHO KNEW ABOUT HIS RESIGNATION LATER BECAME HIS CLIENT WHILE HE WAS AT E.F. HUTTON.



## End of Report

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