



IAPD Report

GEORGE THOMAS CONBOY

CRD# 1283395

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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

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	BRIGHTON SECURITIES CORP.	CRD# 3875	06/28/1988
IA	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
IA	BRIGHTON FINANCIAL PLANNING	3875	ROCHESTER, NY	02/24/2004 - 07/12/2006
B	SHEARSON LEHMAN HUTTON INC.	7506	ROCHESTER, NY	04/11/1988 - 05/28/1988
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
B FINRA	General Securities Representative	Approved	06/28/1988
B FINRA	General Securities Principal	Approved	05/23/1995
B FINRA	Municipal Fund	Approved	03/21/2003
B FINRA	Municipal Securities Principal	Approved	03/26/2003
B FINRA	Municipal Securities Representative	Approved	03/26/2003
B FINRA	Registered Options Principal	Approved	06/30/2011
B FINRA	Operations Professional	Approved	10/31/2011
B FINRA	Securities Trader	Approved	01/04/2016
B Alabama	Agent	Approved	01/26/2011
B Arizona	Agent	Approved	12/12/2019
B California	Agent	Approved	11/15/1996
B Colorado	Agent	Approved	02/18/2009
B 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 Texas	Agent	Approved	02/10/2004
B Virginia	Agent	Approved	03/29/2001

Branch Office Locations

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

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

BRIGHTON SECURITIES CORP.
1703 MONROE AVENUE
ROCHESTER, NY 14618



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
 	Uniform Combined State Law Examination (S66)	Series 66	03/25/2023
	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 AND 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 AND 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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