User Guidance

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IAPD Report

JAMES PATRICK CLANCY

CRD# 1330063

Section Title

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

JAMES PATRICK CLANCY (CRD# 1330063)

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 **01/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC INSTITUTIONS, INC.	CRD# 35371	08/12/2025
IA	OSAIC INSTITUTIONS, INC.	CRD# 35371	08/12/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	LPL FINANCIAL LLC	6413	MIDDLETOWN, CT	12/17/2019 - 06/17/2025
IA	LPL FINANCIAL LLC	6413	MIDDLETOWN, CT	12/12/2019 - 06/17/2025
IA	INFINEX INVESTMENTS, INC.	35371	Glastonbury, CT	03/11/2014 - 11/26/2019

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
Financial	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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OSAIC INSTITUTIONS, INC.**
Main Address: 538 PRESTON AVENUE
MERIDEN, CT 06450-4858
Firm ID#: 35371

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/12/2025
B	Connecticut	Agent	Approved	08/12/2025
IA	Connecticut	Investment Adviser Representative	Approved	08/12/2025
B	Florida	Agent	Approved	08/13/2025
B	Maine	Agent	Approved	08/12/2025
B	Massachusetts	Agent	Approved	08/13/2025
B	New Hampshire	Agent	Approved	08/14/2025
B	New Jersey	Agent	Approved	08/13/2025
B	New York	Agent	Approved	08/15/2025
B	Pennsylvania	Agent	Approved	08/13/2025
B	Rhode Island	Agent	Approved	08/13/2025
B	South Carolina	Agent	Approved	08/14/2025
B	Vermont	Agent	Approved	08/13/2025

Qualifications

Branch Office Locations

OSAIC INSTITUTIONS, INC.
273 Hebron Ave
Glastonbury, CT 06033

OSAIC INSTITUTIONS, INC.
2 WATER STREET
MYSTIC, CT 06355

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	08/26/2008
B	General Securities Representative Examination (S7)	Series 7	10/01/2000

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/29/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/23/1985

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	12/17/2019 - 06/17/2025	LPL FINANCIAL LLC	CRD# 6413	MIDDLETOWN, CT
IA	12/12/2019 - 06/17/2025	LPL FINANCIAL LLC	CRD# 6413	MIDDLETOWN, CT
IA	03/11/2014 - 11/26/2019	INFINEX INVESTMENTS, INC.	CRD# 35371	Glastonbury, CT
B	02/28/2014 - 11/26/2019	INFINEX INVESTMENTS, INC.	CRD# 35371	Glastonbury, CT
IA	06/05/2012 - 03/03/2014	ING INVESTMENT MANAGEMENT CO. LLC	CRD# 106494	NEW YORK, NY
B	06/05/2012 - 03/03/2014	ING INVESTMENTS DISTRIBUTOR, LLC	CRD# 37886	WINDSOR, CT
B	06/01/2009 - 06/14/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	NEW YORK, NY
IA	06/01/2009 - 06/14/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	NEW YORK, NY
IA	07/17/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	07/15/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	01/07/2008 - 08/19/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	02/21/2002 - 07/12/2007	KELLOGG SPECIALIST GROUP LLC	CRD# 118790	NEW YORK, NY
B	03/19/2002 - 01/28/2003	PERFORMANCE SPECIALIST GROUP LLC	CRD# 118790	NEW YORK, NY
B	01/25/2002 - 04/01/2002	PERFORMANCE SPECIALIST GROUP, LLC	CRD# 35032	NEW YORK, NY
B	10/01/2000 - 01/22/2002	FLEET SPECIALIST, INC.	CRD# 103971	NEW YORK, NY
B	04/16/1998 - 08/10/2000	FLEET SECURITIES, INC.	CRD# 13071	DALLAS, TX

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	04/14/1993 - 07/17/1997	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	02/21/1985 - 01/15/1993	STOKES, HOYT & CO.	CRD# 3518	NEW YORK, NY

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
08/2025 - Present	OSAIC Institutions, inc.	reg rep	Y	Meriden, CT, United States
12/2019 - 08/2025	LPL Financial LLC	Registered Representative	Y	Cromwell, CT, United States
02/2014 - 11/2019	INFINEX INVESTMENTS, INC.	INVESTMENT EXECUTIVE	Y	MERIDEN, CT, 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.

1.) Chelsea Groton Bank. Yes, investment related. Financial Advisor - VP. Started August 2025.

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
Financial	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:	Not Provided
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/13/1995
Docket/Case Number:	95-145
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/13/1995
Sanctions Ordered:	Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	**DECEMBER 13, 1995**VIOLATED RULE 104.10 BY FAILING TO MAINTAIN FAIR AND ORDERLY MARKETS BY FAILING TO

	PARTICIPATE ADEQUATELY AS A DEALER AGAINST THE MARKET TREND DURING PERIODS OF SIGNIFICANT PRICE MOVEMENT -- CONSENT TO CENSURE AND $20,000 FINE.
Regulator Statement	THE DECISION IS FINAL AND EFFECTIVELY IMMEDIATELY. CONTACT: PEGGY GERMINO (212) 656 -8450

Reporting Source:	Firm
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE $20,000
Date Initiated:	10/01/1995
Docket/Case Number:	TI-95-145
Employing firm when activity occurred which led to the regulatory action:	JJC SPECIALIST
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	VIOLATED EXCHANGE RULE 104.10. FAILED TO MAINTAIN A FAIR AND ORDERLY MARKET IN AN EXCHANGE LISTED SECURITY.
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/15/1995
Sanctions Ordered:	Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	$20,000 PAID TO THE NYSE IN DECEMBER 1995
Firm Statement	ON TRADE DATES 3/2/93 AND 5/9/95 THE NYSE DETERMINED JAMES CLANCY FAILED TO MAINTAIN A FAIR AND ORDERLY MARKET BY FAILING TO SUFFICIENTLY PARTICIPATE AGAINST THE TREND DURING PERIODS OF SIGNIFICANT PRICE MOVEMENTS. WITHOUT ADMITTING OR DENYING GUILT, JAMES CLANCY CONSENTED TO THE CENSURE AND FINE.

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/13/1995
Docket/Case Number:	95-145

Employing firm when activity occurred which led to the regulatory action:	JJC SPECIALIST
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	VIOLATED RULE 104.10. FAILED TO MAINTAIN A FAIR AND ORDERLY MARKET IN AN EXCHANGE LISTED SECURITY.
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/01/1995
Sanctions Ordered:	Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING GUILT OR DENYING GUILT, CONSENTED TO THE PENALTY OF A CENSURE AND A FINE IN THE AMOUNT OF $20,000.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/31/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/31/2015
If a compromise with creditor, provide:	
Name of Creditor:	Verizon
Original Amount Owed:	$1,112.00
Terms Reached with Creditor:	Exact Compromise amount unknown. $1000.00

End of Report

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