User Guidance

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IAPD Report

THOMAS WESLEY REMMEY

CRD# 1385110

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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

THOMAS WESLEY REMMEY (CRD# 1385110)

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 **12/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GIRARD INVESTMENT SERVICES, LLC	CRD# 1834	10/29/2015
IA	GIRARD ADVISORY SERVICES, LLC	CRD# 39163	10/29/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	ALLSTATE FINANCIAL ADVISORS, LLC	109524	LANGHORNE, PA	02/06/2015 - 10/26/2015
B	ALLSTATE FINANCIAL SERVICES, LLC	18272	LANGHORNE, PA	02/05/2015 - 10/26/2015
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	PERKASIE, PA	01/09/2014 - 01/05/2015

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
Criminal	1
Customer Dispute	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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **GIRARD INVESTMENT SERVICES, LLC**

Main Address: 41 WEST BROAD STREET
SOUDERTON, PA 18964

Firm ID#: 1834

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	10/29/2015
B	FINRA	General Securities Representative	Approved	10/29/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	10/29/2015
B	Florida	Agent	Approved	01/05/2016
B	New Jersey	Agent	Approved	01/04/2016
B	New York	Agent	Approved	03/09/2023
B	Pennsylvania	Agent	Approved	10/29/2015

Branch Office Locations

UNIVEST INVESTMENTS, INC.
41 WEST BROAD STREET
SOUDERTON, PA 18964

Employment 2 of 2

Firm Name: **GIRARD ADVISORY SERVICES, LLC**

Main Address: 555 CROTON ROAD
SUITE 210
KING OF PRUSSIA, PA 19406

Firm ID#: 39163

Qualifications

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	10/29/2015

Branch Office Locations

GIRARD ADVISORY SERVICES, LLC
41 W Broad Street
Souderton, PA 18964

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
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	08/07/1997
B	Corporate Securities Limited Representative Examination (S62)	Series 62	03/26/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/04/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1997

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
IA	02/06/2015 - 10/26/2015	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	LANGHORNE, PA
B	02/05/2015 - 10/26/2015	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LANGHORNE, PA
IA	01/09/2014 - 01/05/2015	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	PERKASIE, PA
B	01/03/2014 - 01/05/2015	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	PERKASIE, PA
IA	09/10/2013 - 01/06/2014	CCO INVESTMENT SERVICES CORP.	CRD# 39550	RICHBORO, PA
B	09/09/2013 - 01/06/2014	CCO INVESTMENT SERVICES CORP.	CRD# 39550	RICHBORO, PA
B	06/30/2008 - 09/04/2013	UNIVEST INVESTMENTS, INC.	CRD# 1834	SOUDERTON, PA
B	05/20/2005 - 06/19/2008	BESTVEST INVESTMENTS, LTD.	CRD# 40302	EAST NORRITON, PA
B	05/08/1999 - 04/21/2005	CRESAP, INC.	CRD# 25899	RADNOR, PA
B	02/18/1998 - 04/09/1999	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	06/18/1997 - 11/11/1997	VALLEY FORGE ASSET MANAGEMENT CORP.	CRD# 7438	KING OF PRUSSIA, PA
B	02/05/1997 - 06/18/1997	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA

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
10/2015 - Present	GIRARD ADVISORY SERVICES, LLC f/k/a GIRARD PARTNERS, LTD	WEALTH ADVISOR	Y	KING OF PRUSSIA, PA, United States
10/2015 - Present	GIRARD INVESTMENT SERVICES, LLC f/k/a UNIVEST INVESTMENTS, INC	WEALTH ADVISOR	Y	SOUDERTON, PA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CENTRE COUNTY COURT OF COMMON PLEAS, BELLEFONT, PA 16823 DOCKET/CASE NUMBER 1981-620
Charge Date:	12/08/1981
Charge Details:	1 COUNT SIMPLE THEFT - MISDEMEANOR- PLED GUILTY 1 COUNT SIMPLE ASSAULT - MISDEMEANOR - PLED GUILTY
Felony?	No
Current Status:	Final
Status Date:	04/19/1982
Disposition Details:	A. CONVICTED B. 2/1982 C. FINE, RESTITUTION, AND PROBATION D. 1-YEAR E. 2/1982 F. $1,000.00 G. PAID FEBRUARY, 1982
Broker Statement	THE INCIDENT, WHICH LED TO AN ARREST, OCCURRED DURING THE FALL SEMESTER OF MY FIRST YEAR AT PENN STATE UNIVERSITY'S MAIN CAMPUS IN UNIVERSITY PARK, PENNSYLVANIA. I ACCEPTED MISDEMEANOR CHARGES, IN A PLEA BARGAIN AGREEMENT, WHICH INCLUDED A FINE AND A SMALL AMOUNT OF COST RESTITUTION. THESE EVENTS TOOK PLACE IN CENTRE COUNTY, PENNSYLVANIA. I MADE AN ERROR IN JUDGEMENT, INVOLVING SEVERAL OTHER PARTICIPANTS, AND TOOK PART IN A PRANK WHICH GOT OUT-OF-HAND. SIMPLY, FOUR YOUNG ADULTS ATTEMPTED TO LIFT A COUPLE OF PIZZA'S FROM A DOMINO'S DELIVERY PERSON. TWO OF US WERE CHARGED, MADE EXAMPLES OF, AND HAVE PAID MORE THAN A SMALL PRICE. LESSONS WERE LEARNED AND NOT FORGOTTEN.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Univest Investments, Inc.
Allegations:	Customer alleges that the representative was negligent by not providing financial services in a timely manner. Between July 18, 2013 and August 9, 2013 the customer alleges that the representative did not process paperwork in a timely manner to name her as a joint owner on one or more accounts with her mother so as to allow the assets to pass to her outside of probate. Customer is the defendant in a dispute over her mother's estate which is requesting a return of assets. Customer, in turn, filed a joinder complaint naming the Firm, and referencing the representative, as a third party defendant in an attempt to have the firm be held liable to the estate.
Product Type:	No Product
Alleged Damages:	$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Montgomery County Court of Common Pleas - Orphans Court Division
Docket/Case #:	2013-X3252
Filing date of arbitration/CFTC reparation or civil litigation:	07/27/2016

Customer Complaint Information

Date Complaint Received:	07/27/2016
Complaint Pending?	No
Status:	Withdrawn
Status Date:	08/01/2018
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

End of Report

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