IAPD Report

THOMAS ANTHONY MCDONALD

CRD# 1411308

Section Title | **Page(s)**

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 ANTHONY MCDONALD (CRD# 1411308)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	09/06/2002
IA	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	09/26/2007

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **36** 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	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ	01/14/2000 - 10/01/2002
B	FIRST ALBANY CORPORATION	298	NEW YORK, NY	06/08/1991 - 02/11/2000
B	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	05/02/1988 - 06/05/1991

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
Customer Dispute	2
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 **36** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**

Main Address: 1717 ARCH STREET
PHILADELPHIA, PA 19103

Firm ID#: 463

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/06/2002
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	09/06/2002
B	Alabama	Agent	Approved	02/06/2025
B	Alaska	Agent	Approved	09/19/2022
B	Arizona	Agent	Approved	05/23/2018
B	California	Agent	Approved	09/06/2002
B	Colorado	Agent	Approved	03/11/2019
B	Connecticut	Agent	Approved	09/06/2002
B	Delaware	Agent	Approved	06/09/2025
B	District of Columbia	Agent	Approved	11/15/2013
B	Florida	Agent	Approved	09/06/2002
IA	Florida	Investment Adviser Representative	Approved	04/18/2019

User Guidance

www.adviserinfo.sec.gov

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	02/07/2025
B	Idaho	Agent	Approved	12/19/2013
B	Illinois	Agent	Approved	10/17/2024
B	Indiana	Agent	Approved	03/03/2022
B	Kansas	Agent	Approved	10/10/2018
B	Maine	Agent	Approved	02/14/2025
B	Maryland	Agent	Approved	03/14/2019
B	Massachusetts	Agent	Approved	09/06/2002
B	Michigan	Agent	Approved	12/01/2014
B	Minnesota	Agent	Approved	02/10/2025
B	Mississippi	Agent	Approved	02/10/2026
B	Missouri	Agent	Approved	12/15/2021
B	Montana	Agent	Approved	02/10/2025
B	Nevada	Agent	Approved	10/07/2025
B	New Hampshire	Agent	Approved	06/17/2020
B	New Jersey	Agent	Approved	09/06/2002
IA	New Jersey	Investment Adviser Representative	Approved	09/26/2007
B	New York	Agent	Approved	09/06/2002
IA	New York	Investment Adviser Representative	Approved	06/28/2021

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/30/2018
B	Pennsylvania	Agent	Approved	09/05/2007
B	Rhode Island	Agent	Approved	02/02/2023
B	South Carolina	Agent	Approved	11/08/2012
B	Tennessee	Agent	Approved	01/25/2023
B	Texas	Agent	Approved	07/15/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	09/13/2017
B	Vermont	Agent	Approved	01/25/2019
B	Virginia	Agent	Approved	11/19/2007
B	Washington	Agent	Approved	08/19/2024
B	Wisconsin	Agent	Approved	05/04/2020

Branch Office Locations

JANNEY MONTGOMERY SCOTT LLC
22 Corporate Woods Boulevard
4th Floor
ALBANY, NY 12211

JANNEY MONTGOMERY SCOTT LLC
2 N. TAMIAMI TRAIL
SUITE 608
SARASOTA, FL 34236

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, 2 general industry/product exams, and 1 state securities law exam.

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	05/24/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1986

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	01/14/2000 - 10/01/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	06/08/1991 - 02/11/2000	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	05/02/1988 - 06/05/1991	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/03/1987 - 05/20/1988	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	06/23/1986 - 05/01/1987	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
09/2002 - Present	JANNEY MONTGOMERY SCOTT LLC	Financial Advisor	Y	PHILADELPHIA, 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.

1. Mac's Drive-In, Watervliet, NY. Sold business in 2018, currently holder of mortgage note.
2. Blessed Sacrament Church, Albany, NY. Finance Committee (2018) - work with the Priest on financial matters running the church. Not compensated, devote 1 hour/month.

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
Customer Dispute	2
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:	IN
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/11/1998
Docket/Case Number:	98-0023 OP
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	ON JANUARY 27, 1998 THE INDIANA SECURITIES COMMISSIONER ORDERED MCDONALD TO SUBMIT A DETAILED WRITTEN EXPLANATION OF THE DISCIPLINARY AND/OR LEGAL MATTERS THAT APPEAR ON HIS DISCIPLINARY HISTORY. HE HAD 90 DAYS IN WHICH TO RESPOND. CELMER FAILED TO RESPOND TO THE ORDER.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/11/1998
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:	
Sanction Details:	ON MAY 11, 1998 THE INDIANA SECURITIES COMMISSIONER ISSUED FINDINGS OF FACT, CONCLUSIONS OF LAW, AND FINAL ORDER DENYING THE REGISTRATION OF MCDONALD.
Regulator Statement	REGISTRATION DENIED FOR THE STATE OF INDIANA. CONTACT: JEFFREY M. GERSHON, 317/232-6690

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF INDIANA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/11/1998
Docket/Case Number:	98-0023 OP
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	DENIAL OF REGISTRATION
Current Status:	Final
Resolution:	Order
Resolution Date:	05/11/1998
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	DENIAL OF REGISTRATION
Broker Statement	MY ERGISTRATION WAS DENIED IN THE STATE OF INDIANA BECAUSE I DID NOT RESPOND ON TIME TO THEIR QUESTIONS. I DID NOT RESPOND BECAUSE I HAD NO CLIENTS IN THAT STATE.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINE WEBBER, INC.
Allegations:	ALLEGE MISREPRESENTATIONS & UNSUITABILITY RE: LP INVESTMENTS FROM 4/89-10/89 TOTALING $155K INCLUDING: GEODYNE2H 4/7/89 $35K & 5/1/89 $15K; ILM 7/7/89 $90K & OTHERS.
Product Type:	
Alleged Damages:	$155,000.00

Customer Complaint Information

Date Complaint Received:	07/26/1994
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Firm Statement	PW AGREED TO PAY THE CLIENT $60K IN EXCHANGE FOR A RELEASE OF ALL CLAIMS. PREPARED BY: PATRICIA E. COWART, ESQ. (305) 527-6330

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINE WEBBER, INC.
Allegations:	CLOSED
Product Type:	
Alleged Damages:	$155,000.00

Customer Complaint Information

Date Complaint Received:	07/26/1994
Complaint Pending?	No
Status:	Settled
Status Date:	

Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT LOST MONEY IN DIRECT INVESTMENTS THAT MANAGEMENT TOLD ME WERE CONSERVATIVE. THE MISREPRESENTATION WAS MADE BY THE ASST. MANAGER OF THE PAINEWEBBER OFFICE. Not Provided

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINWEBBER, INC.
Allegations:	ALLEGED UNSUITABILITY, DAMAGES UNSPECIFIED. PRODUCT DIRECT INVESTMENTS (LPS)
Product Type:	
Alleged Damages:	$21,000.00

Customer Complaint Information

Date Complaint Received:	03/29/1992
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$13,740.00
Individual Contribution Amount:	$0.00
Firm Statement	SETTLED FOR $13,740 THIS DRP-5 IS BEING RESUBMITTED IN RESPONSE TO THE ATTACHED ADVISORY MESSAGE. PLEASE ADJUST YOUR RECORDS ACCORDINGLY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINWEBBER, INC.
Allegations:	UNSUITABILITY
Product Type:	
Alleged Damages:	$21,000.00

Customer Complaint Information

Date Complaint Received:	03/29/1992
Complaint Pending?	No
Status:	Settled

Status Date:	
Settlement Amount:	$13,740.00
Individual Contribution Amount:	$0.00
Broker Statement	PAINEWEBBER SETTLED FOR $13,740.-- MR. MCDONALD WAS NOT REQUIRED TO PARTICIPATE IN THE SETTLEMENT. CLIENT LOST MONEY IN PAINEWEBBER DIRECT INVESTMENTS THAT MANAGEMENT INFORMED ME WERE CONSERVATIVE INVESTMENTS.

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:	PAINEWEBBER, INC.
Termination Type:	Permitted to Resign
Termination Date:	05/29/1991
Allegations:	N/A TRADEING IN CUSTOMERS ACCOUNT THAT WERE NOT WITHIN THE GUIDELINES AND PROCEDURES OF PAINEWEBBER. CLIENT CLAIMED LOSSES IN EXCESS OF $12,000.
Product Type:	
Other Product Types:	
Broker Statement	Not Provided THE MANAGER AT PAINEWEBBER SOLICITED THE COMPLAINT FROM THE CLIENT, BECUASE OF HIS PERSONAL DISLIKE OF ME. I WAS NEVER INFORMED PRIOR TO THIS DAY (5-29-91) THAT I WAS NOT WITHIN PAINEWEBBER GUIDELINES. I WAS NEVER TOLD WHY I WAS ACCUSED OF SUCH ACTIVITY.

End of Report

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