



IAPD Report

JEANNETTE ANN ADCOCK

CRD# 1432053

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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

JEANNETTE ANN ADCOCK (CRD# 1432053)

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 **10/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.	CRD# 8478	06/17/2020
IA	THURSTON SPRINGER ADVISORS	CRD# 299201	09/27/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	THURSTON SPRINGER FINANCIAL	8478	INDIANAPOLIS, IN	07/10/2020 - 09/27/2021
IA	SANCTUARY ADVISORS, LLC	226606	INDIANAPOLIS, IN	05/26/2017 - 06/29/2020
B	SANCTUARY SECURITIES, INC.	205	ITASCA, IL	04/27/2017 - 06/29/2020

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
Criminal	1
Customer Dispute	1
Termination	3



Report Summary



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

Employment 1 of 2

Firm Name: **THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.**
Main Address: 9000 KEYSTONE CROSSING
SUITE 700
INDIANAPOLIS, IN 46240-2142
Firm ID#: 8478

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/17/2020
B Arizona	Agent	Approved	10/19/2022
B California	Agent	Approved	10/02/2025
B Florida	Agent	Approved	07/29/2022
B Georgia	Agent	Approved	06/17/2020
B Illinois	Agent	Approved	07/10/2020
B Indiana	Agent	Approved	06/18/2020
B Michigan	Agent	Approved	06/17/2020
B New York	Agent	Approved	06/17/2020
B Wisconsin	Agent	Approved	10/29/2025

Branch Office Locations

THURSTON SPRINGER FINANCIAL
127 N. Walnut
Suite 100
Itasca, IL 60143



Qualifications

Employment 2 of 2

Firm Name: **THURSTON SPRINGER ADVISORS**
Main Address: 9000 KEYSTONE CROSSING
SEVENTH FLOOR
INDIANAPOLIS, IN 46240
Firm ID#: 299201

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	09/27/2021

Branch Office Locations

THURSTON SPRINGER ADVISORS
127 N. Walnut
Suite 100
Itasca, IL 60143



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/17/1987

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/28/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	02/12/1987

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	07/10/2020 - 09/27/2021	THURSTON SPRINGER FINANCIAL	CRD# 8478	INDIANAPOLIS, IN
IA	05/26/2017 - 06/29/2020	SANCTUARY ADVISORS, LLC	CRD# 226606	INDIANAPOLIS, IN
B	04/27/2017 - 06/29/2020	SANCTUARY SECURITIES, INC.	CRD# 205	ITASCA, IL
IA	08/01/2006 - 04/21/2017	WAYNE HUMMER INVESTMENTS L.L.C.	CRD# 875	BLOOMINGDALE, IL
B	09/20/2004 - 04/21/2017	WAYNE HUMMER INVESTMENTS L.L.C.	CRD# 875	BLOOMINGDALE, IL
IA	09/23/2004 - 12/31/2006	WAYNE HUMMER ASSET MANAGEMENT COMPANY	CRD# 110757	CHICAGO, IL
B	07/01/2003 - 10/04/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 10/04/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	CHICAGO, IL
IA	01/22/1998 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	CHICAGO, IL
B	02/14/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/23/1987 - 02/20/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
04/2017 - Present	DAVID A. NOYES & COMPANY	WEALTH ADVISOR	Y	CHICAGO, IL, United States
08/2004 - 04/2017	WAYNE HUMMER INVESTMENTS	FINANCIAL ADVISOR	Y	CHICAGO, IL, United States



Registration & Employment History



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
Criminal	1
Customer Dispute	1
Termination	3

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:	Illinois
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	05/17/2017
Docket/Case Number:	1700289
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Wayne Hummer Investment,LLC
Product Type:	CD
Allegations:	That the Respondent provided investment advisory services to residents of the State of Illinois at a time when she was not in compliance with the registration requirements of Section 8 of the Illinois Securities Law of 1953
Current Status:	Final
Resolution:	Consent



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:	05/25/2017
Sanctions Ordered:	Monetary Penalty other than Fines Other: Respondent made a monetary payment, in the amount of one thousand dollars (\$1000.00) to the Illinois Secretary of State for the deposit in the Securities Audit and Enforcement Fund.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$1,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	Paid
Is Payment Plan Current:	Yes
Date Paid by individual:	05/25/2017
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	If you have any questions please contact the Department of Illinois Securities 312-793-3384
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF ILLINOIS
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	05/17/2017
Docket/Case Number:	1700289
Employing firm when activity occurred which led to the regulatory action:	WAYNE HUMMER INVESTMENTS LLC
Product Type:	CD
Allegations:	STIPULATION TO ENTER CONSENT ORDER FILED WITH STATE OF ILLINOIS PURSUANT TO MATTER
Current Status:	Final
Resolution:	Stipulation and Consent



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:	05/25/2017
Sanctions Ordered:	Monetary Penalty other than Fines Other: RESPONDENT MADE A \$1000 MONETARY PAYMENT TO THE ILLINOIS SECRETARY OF STATE
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$1,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	PAID
Is Payment Plan Current:	Yes
Date Paid by individual:	05/25/2017
Was any portion of penalty waived?	No
Amount Waived:	



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:	MADIGANS
Charge Date:	04/06/1975
Charge Details:	ACCESSORY TO A SHOPLIFTER
Felony?	No
Current Status:	Final
Status Date:	05/07/1975
Disposition Details:	MISDEMEANOR-PROBATION
Broker Statement	WENT SHOPPING FOR PROM WITH A GROUP OF GIRLS. ONE OF THE GIRLS STOLE A NECKLACE AND I WAS IMPLICATED AS AN ACCESSORY BY ASSOCIATION.



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: Firm

Employing firm when activities occurred which led to the complaint: WINTRUST INVESTMENTS LLC

Allegations: Client alleges he was misled by Ms. Adcock about the risks of structured products resulting in large losses. Also alleges misrepresentation of royalties to be received by the BP Prudhoe Bay Royalty Trust which client claims not to have received.

Product Type: Other: Structured Products and BP Prudhoe Bay Royalty Trust

Alleged Damages: \$185,920.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/13/2025

Complaint Pending? No

Status: Denied

Status Date: 06/11/2025

Settlement Amount:

Individual Contribution Amount:

Firm Statement Customer worked with Ms. Adcock from 2010 - 2017. The allegations in the complaint were reviewed and no evidence of wrongdoing was found. The complaint was denied.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WINTRUST INVESTMENTS LLC

Allegations: Client alleges he was misled by Ms. Adcock about the risks of structured products resulting in large losses. Also alleges misrepresentation of royalties to be received by the BP Prudhoe Bay Royalty Trust which client claims not to have received.

Product Type: Other: Structured Products and BP Prudhoe Bay Royalty Trust

Alleged Damages: \$185,920.00

Is this an oral complaint? No



Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/13/2025

Complaint Pending? No

Status: Denied

Status Date: 06/11/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement Per comments added by Wintrust, customer worked with Ms. Adcock from 2010 - 2017. The allegations in the complaint were reviewed and no evidence of wrongdoing was found. The complaint was denied.



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 3

Reporting Source: Firm
Firm Name: Sanctuary Securities
Termination Type: Discharged
Termination Date: 06/15/2020
Allegations: Representative placed a trade for a client that resided in a state in which the representative was not registered.
Product Type: Debt-Corporate

Reporting Source: Individual
Firm Name: Sanctuary Securities
Termination Type: Discharged
Termination Date: 06/15/2020
Allegations: Sanctuary Securities alleges "Representative placed a trade for a client that resided in a state in which the representative was not registered."
Product Type: Debt-Corporate

Disclosure 2 of 3

Reporting Source: Firm
Firm Name: Wayne Hummer Investments
Termination Type: Permitted to Resign
Termination Date: 04/19/2017
Allegations: Ms. Adcock failed to forward a written matter to her supervisor or compliance department as required by firm policy.
Product Type: CD
Other: Structured CD's

Reporting Source: Individual
Firm Name: WAYNE HUMMER
Termination Type: Permitted to Resign
Termination Date: 04/21/2017
Allegations: FAILURE TO FOLLOW FIRM POLICY
Product Type: CD

Disclosure 3 of 3



Reporting Source:	Individual
Firm Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Discharged
Termination Date:	01/27/1997
Allegations:	MS. ADCOCK WAS TERMINATED FOR ENTERING ORDERS FOR A ROLL-OVER INVESTMENT PRIOR TO BECOMING EFFECTIVE AND PRIOR HAVING HAD CONVERSATIONS WITH SOME CUSTOMERS. ALL CUSTOMERS HAVE CONFIRMED THE ORDERS AND NO CUSTOMER COMPLAINTS HAVE ARISEN AS A RESULT OF THIS ACTIVITY.
Product Type:	Unit Investment Trust(s)
Other Product Types:	



End of Report

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