IAPD Report

THOMAS ANTHONY TARABICOS

CRD# 1754925

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 ANTHONY TARABICOS (CRD# 1754925)

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 **04/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	12/03/2004
IA	WELLS FARGO ADVISORS	CRD# 11025	12/14/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	CITIGROUP GLOBAL MARKETS INC.	7059	ALPHARETTA, GA	02/03/2004 - 12/13/2004
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	05/26/1994 - 12/13/2004
B	A. F. BEST SECURITIES, INC.	14335	CORAL SPRINGS, FL	05/24/1991 - 06/03/1994

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	2
Customer Dispute	2

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

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**

Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205

Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/03/2004
B	FINRA	General Securities Principal	Approved	06/06/2022
B	California	Agent	Approved	12/03/2004
B	Connecticut	Agent	Approved	06/25/2020
B	Florida	Agent	Approved	12/08/2004
B	Georgia	Agent	Approved	12/06/2004
IA	Georgia	Investment Adviser Representative	Approved	12/14/2004
B	Illinois	Agent	Approved	12/07/2004
B	Kentucky	Agent	Approved	10/21/2021
B	Maryland	Agent	Approved	08/31/2010
B	Michigan	Agent	Approved	11/04/2011
B	Missouri	Agent	Approved	01/28/2011
B	New Jersey	Agent	Approved	12/03/2004

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	12/03/2004
B	North Carolina	Agent	Approved	07/24/2014
B	Ohio	Agent	Approved	06/14/2017
B	Pennsylvania	Agent	Approved	12/03/2004
B	Rhode Island	Agent	Approved	11/07/2014
B	South Carolina	Agent	Approved	04/18/2007
B	Tennessee	Agent	Approved	02/21/2025
B	Texas	Agent	Approved	01/18/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	08/29/2016
B	Washington	Agent	Approved	08/26/2024
B	Wyoming	Agent	Approved	05/02/2025

Branch Office Locations

WELLS FARGO ADVISORS
515 EAST CROSSVILLE ROAD
SUITE 450
ROSWELL, GA 30075

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/06/2022

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	11/21/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/19/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/08/1988

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	02/03/2004 - 12/13/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ALPHARETTA, GA
B	05/26/1994 - 12/13/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	05/24/1991 - 06/03/1994	A. F. BEST SECURITIES, INC.	CRD# 14335	CORAL SPRINGS, FL
B	04/26/1991 - 06/06/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	01/31/1990 - 05/03/1991	THE G.M.S. GROUP, INC.	CRD# 8000	EAST HANOVER, NJ
B	05/18/1989 - 02/27/1990	J. T. MORAN & CO., INC.	CRD# 15655	
B	02/28/1989 - 05/24/1989	U.S. ADVISORS, INC.	CRD# 10721	
B	01/06/1989 - 04/20/1989	HANIFEN, IMHOFF SECURITIES CORP.	CRD# 10620	
B	11/25/1987 - 01/18/1989	GRAYSTONE NASH, INC.	CRD# 10635	

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
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	ROSWELL, GA, 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.

COVENANT WEALTH MANAGEMENT, LLC; INV RELATED; ROSWELL, GA; 100% OWNERSHIP; START: 11/01/2022; 50 HOURS A MONTH; 50 HOURS DURING TRADING; FINET PRACTICE.

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	2
Customer Dispute	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/23/1991
Docket/Case Number:	91.145.DOS
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	ON 5-23-91, THE STATE OF FLORIDA APPROVED SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF A. F. BEST SECURITIES, INC. PURSUANT TO AN AGREEMENT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/23/1991
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE TERMS OF THE AGREEMENT PROVIDE, BUT ARE NOT

	LIMITED TO, THE FOLLOWING: TARABICOS AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY IN CONNECTION WITH HIS EMPLOYMENT IN THE SECURITIES INDUSTRY. SUCH CONDITIONS WILL REMAIN IN EFFECT THROUGHOUT THE REGISTRATION WITH THIS FIRM OR UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT FLORIDA AGENT REGISTRATION SECTION FOR FURTHER INFORMATION.
Regulator Statement	Not Provided

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/23/1991
Docket/Case Number:	91.145.DOS
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	WORKING WITH UNREGISTERED BROKER/DEALER. SELLING UNREGISTERED SECURITIES. BOTH UNKNOWN TO ME.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/23/1991
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	INCLUDED IN STIPULATION AGREEMENT. 1) WILL NOT ENGAGE IN ANY PROHIBITED BUSINESS PRACTICE. 2) WILL NOT ACT IN ANY PRINCIPAL, SUPERVISORY OR MANAGEMENT CAPACITY. 3) WILL IMMEDIATELY REPORT ANY COMPLAINTS OR ACTIONS FILED.
Broker Statement	I MET WITH THE STATE OF FLORIDA. I WAS ASKED TO FOLLOW A SERIES OF STIPULATIONS AND AGREEMENTS IN REGARD TO DOING BUSINESS. I HAVE BEEN LICENSED TO DO BUSINESS IN FLORIDA AND OTHER STATES. I HAVE COMPLIED WITH ALL REGULATIONS.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	

Date Initiated:	10/25/1989
Docket/Case Number:	1072-S-4/89
Employing firm when activity occurred which led to the regulatory action:	UNITED STATES CAPITAL CORP.
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	ON OCTOBER 25, 1989,THE FLORIDA DIVISION OF SECURITIES ISSUED AN ADMINISTRATIVE COMPLAINT FOR VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES. SUCH VIOLATIONS INCLUDE, FRAUD THROUGH MISREPRESENTATIONS, SALES OF UNREGISTERED SECURITIES, FAILURE TO PROPERLY SUPERVISE, AND FAILING TO SEND TIMELY WRITTEN CONFIRMATIONS.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	02/27/1990
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	ON FEBRUARY 27, 1990, THE DEPARTMENT AND MR. TARABICOS AGREED TO, AMOUNG OTHER THINGS, TO CEASE ALL VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES, AGREED TO STRICT SUPERVISION, AGREED NOT TO EXERCISE DISCRETIONARY AUTHORITY, AGREED TO REPORT ANY COMPLAINT OR ACTION FILED AGAINST HIM, AND AGREED TO A FIVE (5) DAY SUSPENSION OF REGISTRATION.

Reporting Source:	Firm
Regulatory Action Initiated By:	STATE OF FLORIDA, OFFICE OF COMPTROLLER, DIVISION O*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/25/1989
Docket/Case Number:	1072-S-4/89
Employing firm when activity occurred which led to the regulatory action:	UNITED STATES CAPITAL CORP.
Product Type:	
Other Product Type(s):	
Allegations:	SELLING UNREGISTERED SECURITIES AND SELLING SECURITIES FROM A UNREGISTERED BRANCH OFFICE.
Current Status:	Final
Resolution:	Stipulation and Consent

Resolution Date:	02/27/1990
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	MR. TARABICOS, WAS PERMANENTLY ENJOINED FROM ANY PRESENT OR FUTURE VIOLATIONS OF THE PROVISIONS OF CHAPTER 517 FLORIDA STATUTES SPECIFICALLY SECTION 517.07 (SELLING UNREGISTERED SECURITIES) AND SECTION 517.12 (5) (SELLING SECURITIES FROM AN UNREGISTERED BRANCH OFFICE). HE WAS SUSPENDED FOR 5 BUSINESS DAYS AS AN AGENT IN THE STATE OF FLORIDA AND CONSENTED TO RESTRICTIONS ON HIS LICENSE.
Firm Statement	Not Provided

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	02/27/1990
Docket/Case Number:	1072-S-4/89
Employing firm when activity occurred which led to the regulatory action:	UNITED STATES CAPITAL CORP.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	WORKING WITH UNREGISTERED BROKER/DEALER SELLING UNREGISTERED SECURITIES BOTH UNKNOWN TO ME
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	02/27/1990
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	INCLUDED IN STIPULATION AGREEMENT. ONE WEEK (5 DAYS) SUSPENSION AND SOME RESTRICTIONS (MOST HAVE BEEN LIFTED)
Broker Statement	I MEET WITH THE STATE OF FLORIDA. I WAS ASKED TO FOLLOW A SERIES OF STIPULATIONS AND AGREEMENTS IN REGARDS TO DOING BUSINESS. NOW AS OF MARCH 1991 MOST OF THOSE RESTRICTIONS WERE LIFTED (PLEASE SEE REGISTRATION AGREEMENT). I HAVE BEEN LICENSED TO DO BUSINESS IN FLORIDA AND OTHER STATES. I HAVE COMPLIED WITH ALL REGULATIONS SEE ATTACHED LETTER DATED 3/22/91.

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:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Allegations:	Customer complained that the financial advisor traded and charged fees without authorization. (4/14/2015-3/31/2023).
Product Type:	Other: Self-Directed Fee-Based Accounts (non-managed)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than $5,000.
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:	03/31/2023
Complaint Pending?	No
Status:	Denied
Status Date:	04/28/2023
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY INC.
Allegations:	CPA FOR TRUSTEE ON TRUST ACCOUNT ALLEGES THAT TRADES TO LIQUIDATE FUNDS FOR DISTRUBUTIONS FROM ACCOUNT WERE UNAUTHORIZED AND THAT THE CLIENT'S INSTRUCTIONS WERE NOT FOLLOWED. MUTUAL FUNDS, UNIT INVESTMENT TRUSTS, STOCKS. SMITH BARNEY, INC. ALLEGED DAMAGES UNSPECIFIED.
Product Type:	

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	07/30/1998
Complaint Pending?	No
Status:	Denied
Status Date:	10/30/1998
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT'S CLAIM WAS DENIED. THERE WERE NO OPTIONS OR COMMODITIES INVOLVED. NOT PROVIDED

End of Report

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