



IAPD Report

JAMES MICHAEL TUOHEY SR

CRD# 1828227

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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

JAMES MICHAEL TUOHEY SR (CRD# 1828227)

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 **10/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WILLIAM JOSEPH CAPITAL MANAGEMENT, INC.	CRD# 226535	11/05/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	GARLAND AND GREENWOOD WEALTH ADVISORS LLC	318815	ROLAND, AR	05/03/2022 - 10/01/2025
IA	BOLMGREN RETIREPLAN, INC.	166560	CHICAGO, IL	05/27/2015 - 02/22/2022
IA	SANDLAPPER WEALTH MANAGEMENT, LLC	164443	GREENVILLE, SC	10/30/2012 - 11/14/2013

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



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WILLIAM JOSEPH CAPITAL MANAGEMENT, INC.**
Main Address: 210 RED STONE HILL ROAD
SUITE 5
BRISTOL, CT 06010
Firm ID#: 226535

Regulator	Registration	Status	Date
IA Arkansas	Investment Adviser Representative	Approved	11/05/2025

Branch Office Locations

WILLIAM JOSEPH CAPITAL MANAGEMENT, INC.
2836 Malvern Ave
Suite G
Hot Springs, AR 71901





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




Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	05/27/2008
 General Securities Principal Examination (S24)	Series 24	12/27/2007

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	11/19/2007
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/19/2007

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	05/05/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/28/2007

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	05/03/2022 - 10/01/2025	GARLAND AND GREENWOOD WEALTH ADVISORS LLC	CRD# 318815	ROLAND, AR
IA	05/27/2015 - 02/22/2022	BOLMGREN RETIREPLAN, INC.	CRD# 166560	CHICAGO, IL
IA	10/30/2012 - 11/14/2013	SANDLAPPER WEALTH MANAGEMENT, LLC	CRD# 164443	GREENVILLE, SC
B	10/17/2012 - 09/03/2013	SANDLAPPER SECURITIES, LLC	CRD# 137906	GREENVILLE, SC
IA	05/14/2012 - 09/25/2012	FMSI ADVISERS	CRD# 21786	BLOOMINGTON, IL
B	04/05/2011 - 09/25/2012	FIRST MIDWEST SECURITIES, INC.	CRD# 21786	BLOOMINGTON, IL
B	06/08/2010 - 04/08/2011	PROEQUITIES, INC.	CRD# 15708	RICHMOND, VA
B	07/09/2009 - 05/21/2010	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	RICHMOND, VA
B	08/02/2007 - 02/04/2009	FIRST DOMINION CAPITAL CORP.	CRD# 16330	RICHMOND, VA

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
07/2025 - Present	William Joseph Capital Management, Inc.	Investment Advisor Representative	Y	Hot Springs, AR, United States
07/2025 - Present	William Joseph Tax Strategies, LLC	Partner	N	Hot Springs, AR, United States
08/2024 - 06/2025	JMT Accounting & Wealth Services, LTD	Managing Representative	N	Hot Springs, AR, United States
01/2022 - 06/2025	Garland & Greenwood Wealth Advisors	Managing Partner Representative	Y	Little Rock, AR, United States
01/2021 - 08/2024	Garland & Greenwood CPA & Advisors	Managing Partner Representative	N	Hot Springs, AR, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2015 - 12/2021	BOLMGREN RETIREPLAN INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHICAGO, IL, United States
09/2015 - 12/2020	Prince & Tuohey	Managing Partner Representative	Y	Hot Springs, AR, 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.

William Joseph Tax Strategies, LLC, not investment-related. Accounting and Tax Services, 2836 Malvern Ave, Suite G, Hot Springs, AR. Partner, effective 7/1/2025. Full-time, during trading hours. This is an affiliate of William Joseph Capital Management, Inc.



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

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: FINRA

Sanction(s) Sought:

Date Initiated: 07/01/2015

Docket/Case Number: [2013037616701](#)

Employing firm when activity occurred which led to the regulatory action: SANDLAPPER SECURITIES, LLC

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, TUOHEY CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE PERMITTED HIS MEMBER FIRM TO CONDUCT A SECURITIES BUSINESS WHILE IT WAS NET CAPITAL DEFICIENT. THE FINDINGS STATED THAT TUOHEY FURTHER FAILED TO ENSURE THAT THE FIRM'S GENERAL LEDGER, TRIAL BALANCE, AND BALANCE SHEET ACCURATELY REFLECTED THE FIRM'S LIABILITIES AND FAILED TO ACCURATELY COMPUTE THE FIRM'S NET CAPITAL. ADDITIONALLY, TUOHEY FILED INACCURATE FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE (FOCUS) REPORTS. TUOHEY WAS THE FIRM'S CHIEF FINANCIAL OFFICER (CFO) AND FINANCIAL AND OPERATIONS PRINCIPAL (FINOP). ACCORDING TO THE FIRM'S WRITTEN SUPERVISORY PROCEDURES (WSPS), AS THE CFO AND FINOP, TUOHEY WAS RESPONSIBLE FOR, AMONG OTHER THINGS, MAINTAINING THE ACCURACY OF THE FIRM'S BOOKS AND RECORDS AND CALCULATING THE FIRM'S NET CAPITAL.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

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: 07/01/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Requalification
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: A PRINCIPAL CAPACITY AS A FINOP AND INTRODUCING BROKER-DEALER/FINANCIAL AND OPERATIONS PRINCIPAL
Duration: ONE MONTH
Start Date: 07/06/2015
End Date: 08/05/2015

Requalification 1 of 1

Requalification Type: Requalification by Exam
Length of time given to requalify: PRIOR TO ACTING IN EITHER CAPACITY WITH ANY FINRA MEMBER OR REGISTERING WITH ANY FINRA MEMBER AS A FINOP, FOLLOWING SUSPENSION
Type of exam required : (SERIES 27) AND/OR (SERIES28)

Has condition been satisfied: No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan: DEFERRED
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual
Regulatory Action Initiated FINRA



By:

Sanction(s) Sought:

Date Initiated: 07/01/2015

Docket/Case Number: [2013037616701](#)

Employing firm when activity occurred which led to the regulatory action: SANDLAPPER SECURITIES, LLC

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. TUOHEY CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE PERMITTED HIS MEMBER FIRM TO CONDUCT A SECURITIES BUSINESS WHILE IT WAS NET CAPITAL DEFICIENT. THE FINDING STATED THAT MR. TUOHEY FAILED TO ENSURE THAT THE FIRM'S GENERAL LEDGER, TRIAL BALANCE, AND BALANCE SHEET ACCURATELY REFLECTED THE FIRM'S LIABILITIES AND THUS FAILED TO ACCURATELY COMPUTE THE FIRM'S NET CAPITAL. ADDITIONALLY, MR. TUOHEY FILED INACCURATE FINANCIAL AND OPERATION COMBINED UNIFORM SINGLE (FOCUS) REPORTS DUE TO THE MISCALCULATION. MR. TUOHEY WAS THE FIRM'S CHIEF FINANCIAL OFFICER (CFO) AND FINANCIAL AND OPERATIONS PRINCIPAL (FINOP). ACCORDING TO THE FIRM'S WRITTEN SUPERVISORY PROCEDURES, AS THE CFO AND FINOP, MR. TUOHEY WAS RESPONSIBLE FOR, AMONG OTHER THINGS, MAINTAINING THE ACCURACY OF THE FIRM'S BOOKS AND RECORDS AND CALCULATED THE FIRM'S NET CAPITAL.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 07/01/2015

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: A PRINCIPAL CAPACITY AS A FINOP AND INTRODUCING BROKER-DEALER/FINANCIAL AND OPERATIONS PRINCIPAL.

Duration: ONE MONTH

Start Date: 07/06/2015

End Date: 08/05/2015

Requalification 1 of 1

Requalification Type: Requalification by Exam

Length of time given to requalify: PRIOR TO ACTING IN EITHER CAPACITY WITH ANY FINRA MEMBER OR REGISTERING WITH ANY FINRA MEMBER AS A FINOP, FOLLOWING SUSPENSION.

Type of exam required : SERIES 27 AND/OR SERIES 28



Has condition been satisfied:	No
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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