



IAPD Report

GEORGE THOMAS REEDY

CRD# 1840769

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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

GEORGE THOMAS REEDY (CRD# 1840769)

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 **01/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	R. SEELAUS & CO., LLC	CRD# 14974	05/01/2009
IA	SEELAUS ASSET MANAGEMENT, LLC	CRD# 149582	01/30/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	R. SEELAUS & CO., INC.	14974	Taylors, SC	06/30/2009 - 04/04/2013
IA	THRIVENT INVESTMENT MANAGEMENT INC.	18387	EMERSON, NJ	01/29/2008 - 05/06/2009
B	THRIVENT INVESTMENT MANAGEMENT INC.	18387	EMERSON, NJ	12/14/2007 - 05/06/2009

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
Bond	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 **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **R. SEELAUS & CO., LLC**
Main Address: 26 MAIN STREET
SUITE 300
CHATHAM, NJ 07928
Firm ID#: 14974

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/01/2009
B California	Agent	Approved	05/05/2010
B Connecticut	Agent	Approved	07/02/2012
B Delaware	Agent	Approved	09/09/2014
B Florida	Agent	Approved	04/01/2010
B Georgia	Agent	Approved	11/30/2010
B Illinois	Agent	Approved	12/08/2009
B Kentucky	Agent	Approved	07/03/2012
B Louisiana	Agent	Approved	04/22/2016
B Maryland	Agent	Approved	10/31/2014
B Massachusetts	Agent	Approved	09/09/2015
B Michigan	Agent	Approved	04/14/2011
B Minnesota	Agent	Approved	01/09/2017



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	01/07/2019
B New Jersey	Agent	Approved	05/01/2009
B New York	Agent	Approved	05/01/2009
B North Carolina	Agent	Approved	09/18/2019
B Ohio	Agent	Approved	03/15/2011
B Oregon	Agent	Approved	08/09/2018
B Pennsylvania	Agent	Approved	12/17/2009
B Rhode Island	Agent	Approved	05/28/2015
B South Carolina	Agent	Approved	12/08/2009
B Texas	Agent	Approved	03/05/2010
B Virginia	Agent	Approved	12/08/2009
B Washington	Agent	Approved	05/31/2012

Branch Office Locations

R. SEELAUS & CO., INC.
Boiling Springs, SC

Employment 2 of 2

Firm Name: **SEELAUS ASSET MANAGEMENT, LLC**
Main Address: 26 MAIN STREET
SUITE 304
CHATHAM, NJ 07928
Firm ID#: 149582

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	01/30/2013



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

SEELAUS ASSET MANAGEMENT, LLC
Taylors, SC




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



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/03/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/06/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/04/1998

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/25/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/09/1999

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	06/30/2009 - 04/04/2013	R. SEELAUS & CO., INC.	CRD# 14974	Taylors, SC
IA	01/29/2008 - 05/06/2009	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	EMERSON, NJ
B	12/14/2007 - 05/06/2009	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	EMERSON, NJ
B	04/06/2006 - 12/04/2006	ILLINGTON CAPITAL, INC.	CRD# 38784	PLEASANTVILLE, NY
B	02/19/2004 - 05/25/2005	HINES REAL ESTATE SECURITIES, INC.	CRD# 128145	HOUSTON, TX
B	07/02/2003 - 02/10/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	07/02/2003 - 02/10/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	09/08/1998 - 01/31/2003	BLACKROCK INVESTMENTS, INC.	CRD# 38642	NEW YORK, NY
B	02/24/1995 - 04/24/1995	MFS FUND DISTRIBUTORS, INC.	CRD# 31052	BOSTON, MA
B	08/03/1988 - 12/31/1994	MFS FINANCIAL SERVICES, INC.	CRD# 18309	BOSTON, 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
01/2013 - Present	SEELAUS ASSET MANAGEMENT LLC	INVESTMENT ADVISOR	Y	Chatham, NJ, United States
05/2009 - Present	R. SEELAUS & CO. INC/ R. Seelaus & Co., LLC.	REGISTERED REP	Y	Chatham, NJ, 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.

RSC Financial Products LLC, An Insurance affiliate of R. Seelaus & Co., LLC 26 Main Street, Suite 300, Chatham, NJ 07928, insurance agent, Since 2009, 0-5 hours devoted a week, all during securities hours. Selling personal insurance products as needed per client's needs.



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:

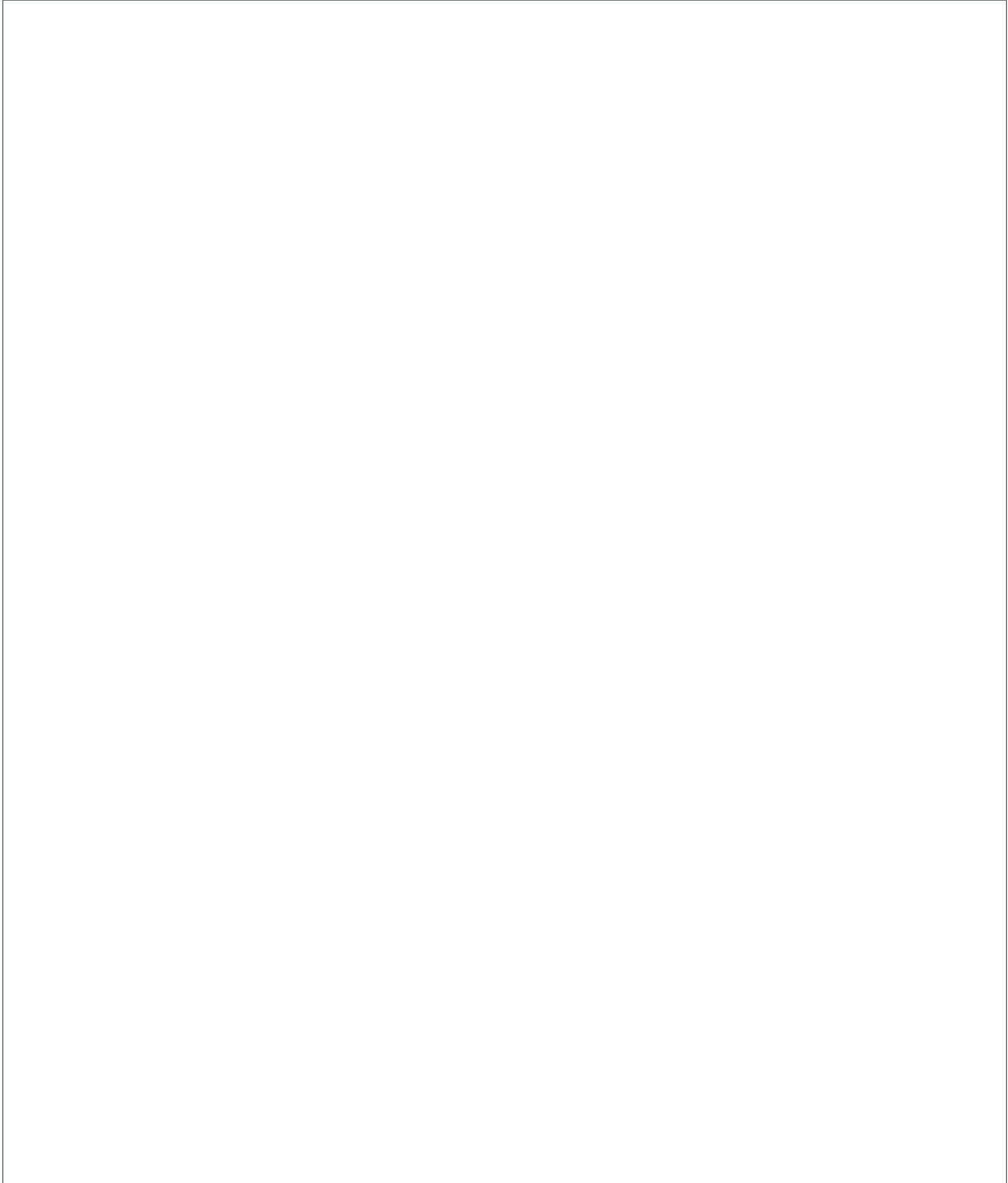
Type	Count
Criminal	1
Bond	1

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:	BRIGHTON DIVISION, DISTRICT COURT DEPARTMENT DOCKET/CASE NUMBER - 84 CR 0335, 84 CR 0120, 84 CR 0119 BRIGHTON, MA
Charge Date:	11/09/1984
Charge Details:	ONE COUNT - BREAKING AND ENTERING W/INTENT TO COMMIT A FELONY - FELONY - NOT GUILTY ONE COUNT - RECEIVING STOLEN PROPERTY - FELONY - NOT GUILTY ONE COUNT - BURNING OF PERSONAL PROPERTY - FELONY - NOT GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	09/25/1986
Disposition Details:	1.)FELONY CONVICTION FOR BREAKING AND ENTERING W/INTENT TO COMMIT A FELONY. SENTENCED TO 2 YEARS HOUSE OF CORRECTIONS, SUSPENDED. 2.)FELONY CONVICTION FOR BURNING OF PERSONAL PROPERTY. RECEIVED PROBATION FOR 18 MONTHS. 3.)FELONY CONVICTION FOR RECEIVING STOLEN PROPERTY. RECEIVED PROBATION FOR 18 MONTHS.
Broker Statement	IN 1984 WHILE A STUDENT AT BOSTON COLLEGE, AFTER DRINKING ALL DAY, I ENTERED A DORM ROOM THAT WAS LEFT OPEN AT NIGHT. I TOOK SOME RECORDS (PHONOGRAPH) FROM THE ROOM AND WHILE IN THE ROOM, INADVERTENTLY DROPPED A COAT ON THE STOVE IN THE KITCHEN. THE COAT SUBSEQUENTLY CAUGHT FIRE. I WAS APPREHENDED THE NEXT DAY AND SIGNED A FULL CONFESSION OF THESE EVENTS TO THE BRIGHTON POLICE.





Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source: Individual

Policy Holder: FIDELITY INVESTMENTS

Bonding Company Name: CHUBB

Disposition: Denied

Disposition Date: 05/01/1987

Broker Statement

BOND WAS DENIED BECAUSE OF A FALSE STATEMENT ON THE APPLICATION. I WAS INFORMED BY MY ATTORNEY THAT MY CONVICTION HAD BEEN REMOVED FROM MY RECORD AND THEREFORE, I COULD ANSWER IN THE NEGATIVE WHEN ASKED IF I HAD EVER BEEN CONVICTED OF A FELONY.



End of Report

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