



IAPD Report

THOMAS EDWARD COLEMAN

CRD# 2032278

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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

THOMAS EDWARD COLEMAN (CRD# 2032278)

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 **01/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KCD FINANCIAL, INC.	CRD# 127473	06/23/2004
IA	KCD FINANCIAL, INC.	CRD# 127473	07/23/2004

QUALIFICATIONS

This representative is currently registered in **1** 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
B	SII INVESTMENTS, INC.	2225	APPLETON, WI	09/02/1997 - 06/23/2004
B	WELLINGTON INVESTMENT SERVICES CORP.	23018	BROOKFIELD, WI	04/11/1991 - 09/04/1997
B	GENEVA SECURITIES, INC.	16178	SCHAUMBURG, IL	03/26/1990 - 03/31/1990

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

Employment 1 of 1

Firm Name: **KCD FINANCIAL, INC.**
Main Address: 3061 ALLIED STREET
SUITE B
GREEN BAY, WI 54304
Firm ID#: 127473

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	06/23/2004
B	FINRA	Direct Participation Programs	Approved	06/23/2004
B	FINRA	Invest. Co and Variable Contracts	Approved	06/23/2004
B	Wisconsin	Agent	Approved	06/23/2004
IA	Wisconsin	Investment Adviser Representative	Approved	07/23/2004

Branch Office Locations

KCD FINANCIAL, INC.
BROOKFIELD, WI

KCD FINANCIAL, INC.
Brookfield, WI




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, 4 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	12/08/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Corporate Securities Limited Representative Examination (S62)	Series 62	06/08/1993
 Direct Participation Programs Representative Examination (S22)	Series 22	06/15/1992
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/22/1990

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/24/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/1990

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
B	09/02/1997 - 06/23/2004	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	04/11/1991 - 09/04/1997	WELLINGTON INVESTMENT SERVICES CORP.	CRD# 23018	BROOKFIELD, WI
B	03/26/1990 - 03/31/1990	GENEVA SECURITIES, INC.	CRD# 16178	SCHAUMBURG, IL

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
06/2004 - Present	KCD FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	DE PERE, WI, 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.

FIRST PLAN FINANCIAL SERVICES, LLC, INVESTMENT RELATED, 16060 CATHY ANN LANE, BROOKFIELD, WI 53005, INSURANCE SALES, OWNER. START 6-16-04, 1 HOUR PER MONTH, ALL DURING MARKET HOURS. SELL INSURANCE PRODUCT TYPES: FIXED ANNUITIES.



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
Customer Dispute	2

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:	SII INVESTMENTS, INC.
Allegations:	CLIENT ALLEGES UNSUITABLE INVESTMENT UNAUTHORIZED TRADING IN PENNY STOCKS, FORGERY AND FRAUD
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	EQUITIES OTC
Alleged Damages:	\$525,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/31/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DR CASE #04-08769
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Date Notice/Process Served: 01/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/03/2006

Monetary Compensation Amount: \$8,500.00

Individual Contribution Amount: \$5,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SII INVESTMENTS, INC.

Allegations: CLIENTS ALLEGE UNSUITABLE TRANSACTIONS SINCE 1999 AND ALLEGE DOCUMENTS CONTAINING CLIENTS SIGNATURE WERE NOT SIGNED BY MR. SMITH. NO DAMAGE AMOUNT CITED HOWEVER, FIRM ESTIMATES TO BE OVER \$5,000.00

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITIES, OTC

Alleged Damages: \$525,000.00

Customer Complaint Information

Date Complaint Received: 03/17/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/31/2005

Settlement Amount: \$8,500.00

Individual Contribution Amount: \$5,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR CASE # 04-08769

Date Notice/Process Served: 01/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/08/2006

Monetary Compensation Amount: \$8,500.00

Individual Contribution Amount: \$5,000.00

Broker Statement REPRESENTATIVE DENIES ALL ALLEGATIONS. SETTLED AHEAD OF ARBITRATION HEARING.



Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SII INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGED BROKER SOLD HIS SHARES NETOPIA WITHOUT PERMISSION BECAUSE HE WANTED TO TRANSFER TO NEW BROKER DEALER. NASD DISMISSED CLAIM BECAUSE BROKER HAS NUMEROUS RECORDS SHOWING VARIOUS PHONE CALLS AND LETTERS TO CLIENT WHERE HE APPROVED TRADES.

Product Type: Other

Other Product Type(s): STOCK: NETOPIA (NTPA); 600 SHARES

Alleged Damages: \$23,751.00

Customer Complaint Information

Date Complaint Received: 01/04/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/11/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement NASD EXAM #E8A000227. BASED UPON REVIEW AND INVESTIGATION OF CUSTOMER ALLEGATIONS THEY DECIDED NO ACTION WAS WARRANTED AND INVESTIGATION WAS CLOSED.



End of Report

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