User Guidance

www.adviserinfo.sec.gov

IAPD Report

THOMAS JAMES KUNKLE

CRD# 2263516

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 JAMES KUNKLE (CRD# 2263516)

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 **02/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	10/04/2018
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	10/09/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	AMERICAN TRUST INVESTMENT SERVICES ADVISORY	3001	CHICAGO, IL	05/19/2014 - 11/02/2018
B	AMERICAN TRUST INVESTMENT SERVICES, INC.	3001	CHICAGO, IL	05/05/2014 - 11/02/2018
IA	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	109701	ELMHURST, IL	03/02/2006 - 04/11/2014

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
Customer Dispute	3

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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/04/2018
B	Arizona	Agent	Approved	04/18/2023
B	California	Agent	Approved	10/05/2018
B	Colorado	Agent	Approved	10/18/2018
B	Delaware	Agent	Approved	10/12/2018
B	Florida	Agent	Approved	10/05/2018
B	Georgia	Agent	Approved	09/28/2022
B	Idaho	Agent	Approved	06/23/2020
B	Illinois	Agent	Approved	10/04/2018
IA	Illinois	Investment Adviser Representative	Approved	10/09/2018
B	Indiana	Agent	Approved	11/02/2018
B	Iowa	Agent	Approved	07/11/2019
B	Maryland	Agent	Approved	03/06/2025

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Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	05/11/2022
B	Nebraska	Agent	Approved	10/09/2018
B	New York	Agent	Approved	12/06/2018
B	Texas	Agent	Approved	05/09/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	05/10/2022
B	Virginia	Agent	Approved	10/05/2018
B	Wisconsin	Agent	Approved	10/05/2018

Branch Office Locations

MML INVESTORS SERVICES, LLC
30 S WACKER DRIVE
SUITE 2700
CHICAGO, IL 60606

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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	12/22/1997

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	08/19/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/23/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1992

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.

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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	05/19/2014 - 11/02/2018	AMERICAN TRUST INVESTMENT SERVICES ADVISORY	CRD# 3001	CHICAGO, IL
B	05/05/2014 - 11/02/2018	AMERICAN TRUST INVESTMENT SERVICES, INC.	CRD# 3001	CHICAGO, IL
IA	03/02/2006 - 04/11/2014	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	ELMHURST, IL
B	07/02/2004 - 04/11/2014	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	CHICAGO, IL
IA	08/19/2004 - 11/15/2011	CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC	CRD# 123483	LISLE, IL
IA	02/02/2004 - 05/04/2004	CITICORP INVESTMENT SERVICES	CRD# 23988	NORTHBROOK, IL
B	07/20/2001 - 05/04/2004	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	02/12/1998 - 11/04/1999	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	03/14/1995 - 02/11/1998	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	08/21/1992 - 03/08/1995	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
10/2018 - Present	MML Investors Services, LLC	Registered Representative	Y	Chicago, IL, United States
10/2018 - Present	MassMutual Life Insurance Co.	Agent	Y	Chicago, IL, United States
05/2014 - 10/2018	American Trust Investment Services, Inc.	Broker	Y	Chicago, IL, United States

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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.

NAME: LEGACY LEADERS INV REL: N ADD: 350 N ORLEANS ST CHICAGO IL 60654 NATURE: MENTOR ORGANIZATION FOR "AT RISK" YOUTH POSITION: BOARD MEMBER START DATE: 4/20/2024 NO HRS/MO: 6 NO HRS/MO DUR TRADING: 0 DESCRIBE DUTIES: DEVELOP STRATEGY FOR THE MENTORSHIP PROGRAM AND RECRUIT QUALIFIED MENTORS TO PAIR WITH YOUTH.

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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.

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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
Customer Dispute	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:	NASD
Sanction(s) Sought:	Other: N/A
Date Initiated:	05/18/2001
Docket/Case Number:	C8A010032
Employing firm when activity occurred which led to the regulatory action:	EVEREN SECURITIES, INC. AND FIRST UNION SECURITIES, INC.
Product Type:	No Product
Allegations:	NASD RULES 2110 AND 2330(E) - GUARANTEED A PUBLIC CUSTOMER AGAINST LOSS IN A SECURITIES ACCOUNT.
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:	05/18/2001
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

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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?	

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Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	IN ANY CAPACITY
Duration:	FIVE BUSINESS DAYS
Start Date:	07/16/2001
End Date:	07/20/2001
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/28/2003
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $2,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE BUSINESS DAYS. THE SUSPENSION IS EFFECTIVE JULY 16, 2001 TO JULY 20, 2001.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD REGULATION, INC.
Sanction(s) Sought:	
Date Initiated:	05/18/2001
Docket/Case Number:	C8A010032
Employing firm when activity occurred which led to the regulatory action:	EVEREN SECURITIES, INC.
Product Type:	Other: Securities Account
Allegations:	VIOLATION NASD CONDUCT RULES 2110 AND 2330(E) BY GUARANTEES A MEMBER OF THE PUBLIC AGAINST LOSS IN A SECURITIES ACCOUNT WHILE EMPLOYEED AT EVEREN SECURITIES, INC.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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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:	05/18/2001
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Five Business Days
Start Date:	07/16/2001
End Date:	07/20/2001
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/28/2003
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Without admitting or denying the allegations, respondent consented to the described sanctions and to the entry of findings; Therefore, he is fined $2500 and suspended from association with any NASD member in any capacity for five business days. The suspension is effective July 16, 2001 to July 20, 2001

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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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LASALLE ST. SECURITIES, LLC
Allegations:	THE CLAIMANTS MADE 2 INVESTMENTS IN DBSI IN AUGUST AND OCTOBER OF 2006. DBSI WENT BANKCRUPT AND CLIENT ALLEGES THAT THE INVESTMENTS WERE UNSUITABLE. THIS HAPPEN DURING THE TIME PERIOD OF 8/4/2006 -02/21/2011
Product Type:	Other: PRIVATE PLACEMENT: DBSI
Alleged Damages:	$600,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00791
Date Notice/Process Served:	03/04/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/30/2011
Monetary Compensation Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLEMENT WAS FOR $60,000 PAID BY LASALLE TO [CUSTOMERS]. IN ADDITION, THE [CUSTOMERS] AGREED TO SELL THEIR CLAIM TO THIRD PARTIES ASSOCIATED WITH LASALLE.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITICORP INVESTMENT SERVICES
Allegations:	CLIENT ALLEGED THAT "[HE] INSTRUCTED MR.KUNKLE TO TRANSFER BOTH [HIS] HARTFORD ANNUITY AND CITI-VARIABLE ACCOUNTS TO "FIXED EARNING STATUS" ACCOUNTS." CLIENT ALSO ALLEGED THAT "[HIS] INSTRUCTIONS WERE NOT PERFORMED, WHICH CAUSED [HIM] TO LOSE $22,265.00 PLUS INTEREST."

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Product Type: Annuity(ies) - Variable

Alleged Damages: $22,265.50

Customer Complaint Information

Date Complaint Received: 09/11/2001

Complaint Pending? No

Status: Settled

Status Date: 06/15/2001

Settlement Amount: $3,988.76

Individual Contribution Amount: $0.00

Broker Statement CLAIM SETTLED IN ORDER TO AVOID THE EXPENSES AND UNCERTAINTIES ASSOCIATED WITH LITIGATION. ORIGINAL COMPLAINT WAS A VERBAL COMPLAINT SETTLED ON 6/15/01. WRITTEN COMPLAINT WAS RECEIVED ON 9/11/01 AFTER COMPLAINT WAS ALREADY SETTLED.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC.

Allegations: CUSTOMERS ALLEGED THAT PURCHASED OF ZIFF-DAVIS ON 4/5/99 WERE NOT AUTHORIZED.

Product Type: Equity - OTC

Alleged Damages: $17,387.75

Customer Complaint Information

Date Complaint Received: 11/09/1999

Complaint Pending? No

Status: Settled

Status Date: 05/03/2000

Settlement Amount: $17,387.75

Individual Contribution Amount: $0.00

Firm Statement THE DISPUTED TRANSACTIONS WERE CANCELLED AS SOON AS THE CLIENT'S RETURNED A SIGNED RELEASE. THEY WERE ALSO CREDITED WITH MARGIN INTEREST THAT WAS CHARGED ON THE PURCHASES.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST UNION SECRITIES, INC

Allegations: CUSTOMERS ALLEGED THAT PURCHASED OF ZIFF-DAVIS ON 4/5/99 WERE NOT AUTHORIZED

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Product Type:	Equity - OTC
Alleged Damages:	$17,387.75

Customer Complaint Information

Date Complaint Received:	11/09/1999
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2000
Settlement Amount:	$17,387.75
Individual Contribution Amount:	$0.00
Broker Statement	THE DISPUTED TRANSACTIONS WERE CANCELLED AS SOON AS THE CLIENTS RETURNED A SIGNED RELEASE. THEY WERE ALSO CREDITED WITH MARGIN INTEREST THAT WAS CHARGED ON THE PURCHASES.

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End of Report

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