



## IAPD Report

# THOMAS JENKINS JR

CRD# 2562513

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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 JENKINS JR (CRD# 2562513)

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 **03/03/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/07/2010
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/09/2010

### QUALIFICATIONS

This representative is currently registered in **10** 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
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HOUSTON, TX	05/27/1998 - 09/08/2010
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HOUSTON, TX	05/27/1998 - 09/08/2010
<b>B</b>	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	07/12/1996 - 05/26/1998

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	3



## 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 **10** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086

Firm ID#: 8174

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	09/07/2010
<b>B</b> FINRA	General Securities Representative	Approved	09/07/2010
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	09/07/2010
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/07/2010
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	09/07/2010
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	09/07/2010
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	09/07/2010
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	09/07/2010
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	09/07/2010
<b>B</b> Alabama	Agent	Approved	02/06/2019
<b>B</b> Arizona	Agent	Approved	03/01/2022



## Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	09/07/2010
B	Colorado	Agent	Approved	09/07/2010
IA	Colorado	Investment Adviser Representative	Approved	04/12/2024
B	Connecticut	Agent	Approved	09/07/2010
B	Delaware	Agent	Approved	01/30/2019
B	Florida	Agent	Approved	09/14/2010
IA	Florida	Investment Adviser Representative	Approved	03/17/2025
B	Georgia	Agent	Approved	05/15/2018
B	Indiana	Agent	Approved	09/10/2010
B	Kansas	Agent	Approved	01/08/2013
B	Louisiana	Agent	Approved	09/07/2010
B	Massachusetts	Agent	Approved	09/25/2013
B	Minnesota	Agent	Approved	07/31/2024
B	Mississippi	Agent	Approved	10/03/2023
B	New Jersey	Agent	Approved	09/07/2010
B	New Mexico	Agent	Approved	09/29/2025
B	New York	Agent	Approved	09/07/2010
B	North Carolina	Agent	Approved	09/07/2010
IA	North Carolina	Investment Adviser Representative	Approved	09/16/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Ohio	Agent	Approved	10/29/2024
<b>B</b> Oregon	Agent	Approved	08/09/2022
<b>B</b> Tennessee	Agent	Approved	09/07/2010
<b>B</b> Texas	Agent	Approved	09/09/2010
<b>IA</b> Texas	Investment Adviser Representative	Approved	09/09/2010
<b>B</b> Washington	Agent	Approved	09/07/2010
<b>B</b> Wyoming	Agent	Approved	06/10/2022

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
4400 POST OAK PARKWAY  
Suite 1700  
HOUSTON, TX 77027



## 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	02/24/2005
 General Securities Representative Examination (S7)	Series 7	07/21/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/08/1996

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/26/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/07/1995

### 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	05/27/1998 - 09/08/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HOUSTON, TX
IA	05/27/1998 - 09/08/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HOUSTON, TX
B	07/12/1996 - 05/26/1998	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	01/09/1996 - 05/26/1998	NORTHWESTERN MUTUAL INVESTMENT SERVICES, INC.	CRD# 2881	MILWAUKEE, WI

### 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
09/2010 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	HOUSTON, TX, 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.

1) Harvey RE Investments, LLC / United States / 11518 Wendover Lane / Houston / TX / United States / 77024 / / No / Company / / Real Estate / / Real estate investments in Houston, TX - purpose to create rental income assets or sell the property after remodel / Active / Proprietor / owner / / I will use a real estate agent to select investment properties. I will hire a contractor to remodel the home. I will use a real estate agent to sell or rent the property after remodel. / 1 / No / No / No / No / Start Date 10/20/2017 / / No / / Yes / 1 / Yes / Yes / 100 / / Yes / Houston, TX, USA / No / / Yes / / Owner/Investor / No / # # HS RESOURCES LLC / 9403 CANTANA COURT HOUSTON, TEXAS 77040 / COMPANY/ REAL ESTATE / ACQUIRE/HOLD REAL ESTATE / OTHER / LLC MEMBER / ACQUIRE/HOLD REAL ESTATE / START DATE 09/11/2013 /

2) Jenkins Family Ventures, LLC, Houston Texas United States-77057, Partnership, Real Estate, LLC for the purposes of owning rental property, Proprietor / owner, I will work with a property manager to manage the rental property, start date-9/25/2024.



## 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	3

### 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC.
<b>Allegations:</b>	Time frame: 2022-2023 Claimants allege negligence and breach of fiduciary duty by the purported failure of the advisor to timely follow Claimant's instructions to timely transfer Claimants' assets to certain trusts, allegedly resulting in tax liabilities.
<b>Product Type:</b>	Other: Fixed Income and Equities
<b>Alleged Damages:</b>	\$4,100,000.00

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA Arbitration
<b>Docket/Case #:</b>	25-01070
<b>Date Notice/Process Served:</b>	06/20/2025
<b>Arbitration Pending?</b>	Yes

#### Civil Litigation Information

<b>Type of Court:</b>	This case was initially filed as Civil Litigation ,Now evolved into Arbitration Changes are made accordingly.
<b>Name of Court:</b>	
<b>Location of Court:</b>	

**Docket/Case #:****Date Notice/Process Served:****Litigation Pending?****Broker Statement**

I strongly deny the allegations and feel them to be invalid. My client's son was the established POA over his father's assets. As the client's death was imminent by the day, the son (POA) gave instructions to move all of his father's assets into newly established family partnership accounts and various trusts. I acted immediately once we received the instructions. The firm, through established processes, required me to obtain formal stated instructions, appropriate signatures, etc. prior to the completion of the transfer of funds. There was no delay on my part nor on UBS in transferring assets and any delay was as a result of awaiting the formalized instructions from the client's son (POA). All was done prior to the client's death.

**Disclosure 2 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

MERRILL LYNCH

**Allegations:**

CUSTOMER ALLEGES THE REGISTERED REPRESENTATIVE MADE UNSUITABLE INVESTMENTS.

**Product Type:**

Equity Listed (Common &amp; Preferred Stock)

**Alleged Damages:**

\$400,000.00

**Customer Complaint Information****Date Complaint Received:**

04/07/2006

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

05/09/2006

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

UPON INVESTIGATION, THE COMPLAINT WAS FOUND TO BE WITHOUT MERIT.

**Disclosure 3 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

MERRILL LYNCH

**Allegations:**

CUSTOMER ALLEGES THAT TRADES WERE CONDUCTED WITHOUT HIS KNOWLEDGE. NO SPECIFIC DAMAGES ALLEGED.

**Product Type:**

Equity - OTC

**Alleged Damages:**

\$0.00

**Customer Complaint Information**



<b>Date Complaint Received:</b>	12/11/2001
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	11/11/2004
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	AFTER REVIEWING THE COMPLAINT MADE BY CUSTOMER, THE FIRM DEEMED THE ALLEGATIONS TO BE WITHOUT MERIT.



## End of Report

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