



IAPD Report

THOMAS EDWARDS GRIMM

CRD# 2702276

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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 EDWARDS GRIMM (CRD# 2702276)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	01/04/2022
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	05/19/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	BENCHMARK INVESTMENTS, LLC	103792	Waxhaw, NC	08/25/2020 - 05/19/2023
IA	BENCHMARK ADVISORY SERVICES, LLC	305662	Waxhaw, NC	08/25/2020 - 01/03/2022
IA	MILLENNIAL ADVISERS, LLC.	170847	waxhaw, NC	01/13/2020 - 08/31/2020

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	2
Customer Dispute	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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**
Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288898

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/19/2023
B	Colorado	Agent	Approved	01/08/2026
B	Florida	Agent	Approved	05/19/2023
B	Iowa	Agent	Approved	05/19/2023
B	New York	Agent	Approved	05/19/2023
B	North Carolina	Agent	Approved	05/19/2023
B	Ohio	Agent	Approved	05/19/2023
B	Pennsylvania	Agent	Approved	05/19/2023
B	South Carolina	Agent	Approved	05/19/2023
B	Texas	Agent	Approved	05/19/2023
B	Virginia	Agent	Approved	05/19/2023
B	Washington	Agent	Approved	05/19/2023

Branch Office Locations



Qualifications

400 E South Main St
Suite 2
Waxhaw, NC 28173

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**
Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288792

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/05/2022
IA Illinois	Investment Adviser Representative	Approved	12/22/2022
IA Iowa	Investment Adviser Representative	Approved	03/30/2023
IA New York	Investment Adviser Representative	Approved	02/08/2022
IA North Carolina	Investment Adviser Representative	Approved	01/10/2022
IA Pennsylvania	Investment Adviser Representative	Approved	01/05/2022
IA South Carolina	Investment Adviser Representative	Approved	01/11/2022
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2022
IA Virginia	Investment Adviser Representative	Approved	01/13/2022
IA Washington	Investment Adviser Representative	Approved	01/11/2022

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
400 E South Main St
Suite 2
Waxhaw, NC 28173



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, 2 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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	04/17/1997
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/24/2012
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B Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/1996
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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	08/25/2020 - 05/19/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	Waxhaw, NC
IA	08/25/2020 - 01/03/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	Waxhaw, NC
IA	01/13/2020 - 08/31/2020	MILLENNIAL ADVISERS, LLC.	CRD# 170847	waxhaw, NC
B	02/16/2018 - 08/25/2020	ALLIED MILLENNIAL PARTNERS, LLC	CRD# 16569	Waxhaw, NC
IA	03/09/2018 - 12/31/2019	MILLENNIAL ADVISERS, LLC.	CRD# 170847	Waxhaw, NC
IA	10/01/2013 - 03/15/2018	LIDLAW ASSET MANAGEMENT, LLC.	CRD# 150040	WAXHAW, NC
B	09/25/2013 - 03/15/2018	LIDLAW & COMPANY (UK) LTD.	CRD# 119037	LONDON, UNITED KING
IA	06/05/2012 - 09/24/2013	FMSI ADVISERS	CRD# 21786	BAY SHORE, NY
B	03/22/2005 - 09/24/2013	FIRST MIDWEST SECURITIES, INC.	CRD# 21786	BAY SHORE, NY
B	08/16/2002 - 04/19/2005	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	01/09/2002 - 09/03/2002	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	12/03/2001 - 12/17/2001	DELTA EQUITY SERVICES CORPORATION	CRD# 15650	BOLTON, MA
B	04/16/2001 - 11/15/2001	GILFORD SECURITIES INCORPORATED	CRD# 8076	NEW YORK, NY
B	02/28/2001 - 04/18/2001	INVESTEC ERNST & COMPANY	CRD# 266	NEW YORK, NY
B	10/25/2000 - 03/29/2001	W.J. NOLAN & COMPANY, INC.	CRD# 16465	NEW YORK, NY
B	10/12/1999 - 10/18/2000	MURPHY & DURIEU	CRD# 6292	NEW YORK, NY



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	08/28/1998 - 10/18/1999	CAMBRIDGE CAPITAL, LLC	CRD# 41464	GARDEN CITY, NY
B	01/20/1998 - 09/02/1998	W.J. NOLAN & COMPANY, INC.	CRD# 16465	NEW YORK, NY
B	09/09/1997 - 01/07/1998	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ATLANTA, GA
B	04/18/1997 - 09/09/1997	TASIN & COMPANY, INC.	CRD# 30709	HAUPPAUGE, NY

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
05/2023 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	Waxhaw, NC, United States
01/2022 - Present	Kingswood Wealth Advisors LLC	Investment Advisor	Y	Stockbridge, GA, United States
08/2020 - Present	BENCHMARK INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	Stockbridge, GA, United States
08/2020 - 01/2022	Benchmark Advisory Services, LLC	Investment Advisor	Y	Stockbridge, GA, United States
03/2018 - 08/2020	Millennial Advisers, LLC	Investment Adviser Representative	Y	New York, NY, United States
02/2018 - 08/2020	ALLIED MILLENNIAL PARTNERS	Registered Rep	Y	New York, NY, United States
09/2013 - 02/2018	LAIDLAW AND COMPANY	REGISTERED REP	Y	NEW YORK, NY, 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.

- Admiralty Wealth Management
 - Yes, investment related
 - 1812 Mill Chase Lane, Waxhaw, NC 28173
 - DBA



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- Owner
- 2/25/2020
- 40+hrs/mo
- 40hrs/mo during trading hrs
- DBA for advisory, brokerage and insurance business

2) The Admiralty Corp.

- 1812 Mill Chase Lane, Waxhaw, N.C.
- NON-INVESTMENT RELATED
- Bookkeeping
- President/Owner
- 1 HR/MONTH
- NONE DURING MARKET HOURS
- General bookkeeping for business

3) Toastmasters & Youth Leadership Program

- President, CMC Facility Community Room 2700 Providence Rd Waxhaw, NC 28173, Non-Investment Related 05/21/2019
- Teaching kids & adults effective public speaking & communication, less than 4 hours per month non-market hours

Toastmasters and YLP,Is Not Investment Related,"1812 MILL CHASE LANE, Suite 2, Waxhaw, NC, 28173, United States",volunteer,Member,5/21/2019,4 hours per month,0 hours per month during trading hours,No Compensation Compensation,Teaching communication skills to kids and adults

Admiralty Corp Admiralty Wealth Management,Is Not Investment Related,"400 E. South Main Street, Suite 2, Waxhaw, NC, 28173, United States",bookkeeping,Owner,5/16/2016,1 hours per month,0 hours per month during trading hours,No Compensation Compensation,General bookkeeping for business

Admiralty Wealth Management,Is Investment Related,"400 E. South Main Street, Suite 2, Waxhaw, NC, 28173, United States",DBA,owner,2/25/2020,40 hours per month,40 hours per month during trading hours,Commission Compensation,DBA for Advisory and Insurance business



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	2
Customer Dispute	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 02/06/2006

Docket/Case Number: 0600005

Employing firm when activity occurred which led to the regulatory action: FIRST MIDWEST SECURITIES, INC.

Product Type: Other

Other Product Type(s):

Allegations: RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.

Current Status: Final

Resolution: Order

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: 07/05/2006
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: JULY 5, 2006 ENTERED INTO CONSENT ORDER WITHDRAWAL AND WILL NOT REAPPLY FOR A PERIOD OF TWO (2) YEARS.
Regulator Statement CONSENT ORDER OF WITHDRAWAL WAS ENTERED ON JULY 5, 2006. ANY QUESTIONS PLEASE CALL JAY BIONDO @ 312-793-3384.

Reporting Source: Individual
Regulatory Action Initiated By: ILLINOIS
Sanction(s) Sought: Prohibition
Other Sanction(s) Sought:
Date Initiated: 07/05/2006
Docket/Case Number: 0600005
Employing firm when activity occurred which led to the regulatory action: FIRST MIDWEST SECURITIES, INC.
Product Type: Other
Other Product Type(s):
Allegations: JULY 5, 2006 ENTERED INTO CONSENT ORDER OF WITHDRAWAL AND WILL NOT REAPPLY FOR A PERIOD OF TWO (2) YEARS.
Current Status: Final
Resolution: Consent
Resolution Date: 07/05/2006
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: JULY 5, 2006 ENTERED INTO CONSENT ORDER OF WITHDRAWAL AND WILL NOT REAPPLY FOR A PERIOD OF TWO (2) YEARS.
Broker Statement IF THERE ARE ANY QUESTIONS, PLEASE FEEL FREE TO CONTACT [THIRD PARTY] AT 312-793-3378.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: NASD
Sanction(s) Sought:
Date Initiated: 12/07/2005
Docket/Case Number: [2005001069901](#)



Employing firm when activity occurred which led to the regulatory action: FIRST MIDWEST SECURITIES, INC.

Product Type: No Product

Allegations: NASD CONDUCT RULE 2110; RESPONDENT ALTERED THE DATE ON A PREVIOUSLY SIGNED BROKERAGE ACCOUNT TRANSFER FORM WHICH HE HAD ON FILE FOR A PUBLIC CUSTOMER IN ORDER TO EFFECT A TRANSFER OF CUSTOMER'S ACCOUNT FROM HIS FORMER EMPLOYER FIRM TO HIS NEW EMPLOYER FIRM WITHOUT CUSTOMER'S AUTHORIZATION.

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: 12/07/2005

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

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS. SUSPENSION COMMENCED DECEMBER 10, 2005 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS FEBRUARY 7, 2006. FINES PAID.

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Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS (NASD)

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 11/29/2005

Docket/Case Number: [2005001069901](#)

Employing firm when activity occurred which led to the regulatory action: FIRST MIDWEST SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: FORGERY: CHANGED A DATE ON ACAT TRANSFER FORM

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/29/2005



Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SIXTY CALENDAR-DAY SUSPENSION FROM ASSOCIATING WITH ANY MEMBER FIRM IN ANY CAPACITY STARTING DECEMBER 10, 2005 AND ENDING FEBRUARY 9, 2006. \$5000 FINE.



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 1

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES UNAUTHORIZED MARGIN TRADE AT PRIOR FIRM AND FORGERY OF A DATE IN ORDER TO ACAT ACCOUNT TO CURRENT FIRM.

Product Type: No Product

Other Product Type(s): CLIENT DOES NOT MENTION PRODUCT TYPE IN COMPLAINT.

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/19/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/01/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I, ADMITTEDLY, CHANGED THE DATE AS PER THE CLIENT'S INSTRUCTIONS. THE CLIENT LATER DENIED EVER GIVING ME PERMISSION. I, NOW UNDERSTAND, THAT EVEN WITH A CLIENT'S INSTRUCTIONS, THIS IS PROHIBITED. I WAS REPRIMANDED BY MY CURRENT FIRM AND WILL BE SUBJECT TO ADDITIONAL CONTINUING EDUCATION.

IN ADDITION, I HAVE NEVER DONE ANY UNAUTHORIZED TRADING FOR CUSTOMER, OR ANY CLIENT. AFTER SUBMITTING MY RESIGNATION LETTER, ANY "UNAUTHORIZED TRADES" THAT MAY HAVE OCCURRED, WERE ENTERED BY ANOTHER REPRESENTATIVE AT MY PRIOR FIRM. I HAVE NO KNOWLEDGE OF ANY TRANSACTIONS AND I WAS NOT THE REP OF RECORD, AT GUNNALLEN FINANCIAL AS OF 11:30 AM EST. MARCH 22 2005.



End of Report

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