



IAPD Report

THOMAS WILLIAM COX JR

CRD# 2744412

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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 WILLIAM COX JR (CRD# 2744412)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CANACCORD GENUITY WEALTH MANAGEMENT (USA) INC.	CRD# 7449	12/12/2005
IA	CANACCORD GENUITY WEALTH MANAGEMENT	CRD# 7449	02/26/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	BLACKMONT CAPITAL CORP.	104204	VANCOUVER, BRITISH COLUMBIA	03/31/2003 - 12/15/2005
B	YORKTON CAPITAL INC.	38108	TORONTO, ONTARIO, CANADA	01/14/1997 - 05/14/2003

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

Employment 1 of 1

Firm Name: **CANACCORD GENUITY WEALTH MANAGEMENT**
Main Address: 1133 MELVILLE STREET
SUITE 1100
VANCOUVER, BC, Canada V6E 4E5
Firm ID#: 7449

	Regulator	Registration	Status	Date
B	FINRA	Canada-Limited Gen Sec Reg Rep	Approved	12/12/2005
B	FINRA	General Securities Principal	Approved	11/27/2014
B	Alabama	Agent	Approved	01/14/2020
B	Alaska	Agent	Approved	02/14/2006
B	Arizona	Agent	Approved	01/11/2006
B	Arkansas	Agent	Approved	07/08/2019
B	California	Agent	Approved	12/12/2005
IA	California	Investment Adviser Representative	Approved	02/26/2018
B	Colorado	Agent	Approved	02/08/2006
B	Connecticut	Agent	Approved	10/26/2011
B	Delaware	Agent	Approved	05/03/2022
B	District of Columbia	Agent	Approved	11/23/2011
B	Florida	Agent	Approved	06/09/2008



Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	01/04/2012
B	Hawaii	Agent	Approved	10/07/2010
B	Idaho	Agent	Approved	04/19/2006
B	Illinois	Agent	Approved	01/04/2011
B	Indiana	Agent	Approved	02/05/2007
B	Iowa	Agent	Approved	04/04/2018
B	Kansas	Agent	Approved	01/22/2018
B	Kentucky	Agent	Approved	02/07/2011
B	Louisiana	Agent	Approved	04/17/2007
B	Maine	Agent	Approved	12/21/2021
B	Maryland	Agent	Approved	07/23/2012
B	Massachusetts	Agent	Approved	04/04/2007
B	Michigan	Agent	Approved	01/11/2006
B	Minnesota	Agent	Approved	07/07/2021
B	Mississippi	Agent	Approved	12/10/2021
B	Missouri	Agent	Approved	09/15/2021
B	Montana	Agent	Approved	11/03/2006
B	Nebraska	Agent	Approved	02/17/2021
B	Nevada	Agent	Approved	02/22/2006



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	07/07/2021
B New Jersey	Agent	Approved	03/11/2014
B New Mexico	Agent	Approved	04/19/2007
B New York	Agent	Approved	02/21/2006
B North Carolina	Agent	Approved	05/29/2007
B North Dakota	Agent	Approved	07/22/2025
B Ohio	Agent	Approved	11/13/2015
B Oklahoma	Agent	Approved	12/15/2005
B Oregon	Agent	Approved	10/13/2010
B Pennsylvania	Agent	Approved	08/09/2016
B Puerto Rico	Agent	Approved	08/21/2023
B Rhode Island	Agent	Approved	04/24/2019
B South Carolina	Agent	Approved	02/24/2017
B South Dakota	Agent	Approved	04/08/2011
B Tennessee	Agent	Approved	09/06/2017
B Texas	Agent	Approved	09/25/2014
B Utah	Agent	Approved	06/03/2016
B Vermont	Agent	Approved	08/11/2021
B Virginia	Agent	Approved	01/03/2014



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	12/12/2005
B Wisconsin	Agent	Approved	01/12/2006
B Wyoming	Agent	Approved	10/07/2010

Branch Office Locations

CANACCORD GENUITY WEALTH MANAGEMENT
1133 MELVILLE STREET
SUITE 1100
VANCOUVER, CANADA V6E 4E5

CANACCORD GENUITY WEALTH MANAGEMENT
1200 - 1133 Melville Street
VANCOUVER, Canada V6E 4E5




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
 General Securities Principal Examination (S24)	Series 24	11/27/2014

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Canada Module of the General Securities Registered Representative (With Options Questions) (S37)	Series 37	05/30/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1996

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	03/31/2003 - 12/15/2005	BLACKMONT CAPITAL CORP.	CRD# 104204	VANCOUVER, BRITISH COLUMBIA
B	01/14/1997 - 05/14/2003	YORKTON CAPITAL INC.	CRD# 38108	TORONTO, ONTARIO, CANADA

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
12/2005 - Present	CANACCORD CAPITAL CORPORATION	INVESTMENT ADVISOR	Y	VANCOUVER, BC, Canada
12/2005 - Present	CANACCORD CAPITAL CORPORATION USA INC.	INVESTMENT ADVISOR	Y	VANCOUVER, BC, Canada

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.

CANACCORD GENUITY CORP
 INVESTMENT RELATED
 1200 - 1133 Melville Street Vancouver, BC V6E 4E5
 CANADIAN BROKER DEALER
 REGISTERED REPRESENTATIVE (RETAIL)
 12/12/2005
 40 HRS PER WEEK

Ashera Holding LLC
 Non INVESTMENT RELATED
 3025 Fairlands Drive, Reno, Nevada
 Seeking a patton on a piece of technology with US Patton Attorney
 Owner
 1/16/2017
 2-5 HRS PER MONTH



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	1
Customer Dispute	2

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:	Individual
Regulatory Action Initiated By:	VANCOUVER STOCK EXCHANGE ("VSE")- NOW KNOWN AS "CDNX"
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	12/16/1996
Docket/Case Number:	151996-00273
Employing firm when activity occurred which led to the regulatory action:	YORKTON SECURITIES INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	CONTRAVENED VSE RULE F.1.02 BY ACCEPTING ORDERS FROM THIRD PARTY WITHOUT HAVING ON FILE A TRADING AUTHORIZATION SIGNED BY THE CLIENT, AND CONTRAVENED VSE BY-LAW 5.01(2) BY PROVIDING INACCURATE INFORMATION TO THE VSE DURING THE COURSE OF AN INVESTIGATION.
Current Status:	Final
Resolution:	Settled
Resolution Date:	06/13/2001
Sanctions Ordered:	Monetary/Fine \$10,000.00



Other Sanctions Ordered: FINE OF \$10,000.00 (CDN) & COSTS OF \$10,000.00 (CDN)

Sanction Details: FINED (REFER TO QUESTION 12. A/B FOR DETAILS)
PAID JUNE/JULY 2001

Broker Statement THE EVENTS THAT OCCURRED WERE SOLELY IN RESPECT TO HIS
REGISTRATION WITH YORKTON SECURITIES INC. (OUR PARENT COMPANY)
AND DID NOT RELATE TO HIS REGISTRATION WITH YORKTON CAPITAL INC.



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:	Individual
Employing firm when activities occurred which led to the complaint:	Canaccord Genuity Corp
Allegations:	Allegedly failed to exercise due diligence to ensure the proposed investments of Getty shares in the Customer accounts were suitable based on Canadian tax provisions for the Customer and members of the Customer's Family.
Product Type:	No Product
Alleged Damages:	\$68,922.52
Alleged Damages Amount Explanation (if amount not exact):	claim of \$68,922.52 CAD for legal costs plus damages, interest, cost and any other relief as the court may deem just.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Supreme Court of British Columbia
Docket/Case #:	183220
Filing date of arbitration/CFTC reparation or civil litigation:	09/06/2016

Customer Complaint Information

Date Complaint Received:	02/09/2017
Complaint Pending?	Yes
Settlement Amount:	

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	
Name of Court:	Supreme Court of British Columbia
Location of Court:	New Westminster
Docket/Case #:	183220
Date Notice/Process Served:	



Litigation Pending? Yes

Broker Statement In reviewing the Customer's accounts, the firm notes there was only one purchase of 1,000 Getty shares during the time of the accounts being held by the firm. The shares of Getty were contributed to the Customer's accounts by the Customers after they were purchased outside of the firm.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: L.O.M. WESTERN SECURITIES LIMITED

Allegations: CLIENT ALLEGED THAT WE FAILED TO OFFER STOCK TO THEM

Product Type: Other

Other Product Type(s): NOT KNOWN

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1990

Complaint Pending? No

Status: Litigation

Status Date: 05/18/1993

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPREME COURT; VANCOUVER, BRITISH COLUMBIA, CANADA; C911126

Date Notice/Process Served: 07/01/1990

Litigation Pending? No

Disposition: Monetary Judgment to Customer

Disposition Date: 05/18/1993

Monetary Compensation Amount: \$34,500.00

Individual Contribution Amount:

Broker Statement CLIENT AWARDED \$34,500 IN DAMAGES
COURT FOUND NO BREACH OF INVESTMENT STATUTES BUT DID FIND A BREACH OF COMMON LAW FIDUCIARY DUTY TO CLIENT.
VANCOUVER STOCK EXCHANGE CONFIRMED, IN 9/90, THAT THERE WAS NO VIOLATION OF EXCHANGE REQUIREMENTS.



End of Report

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