



## IAPD Report

# THOMAS RICHARD NOONAN

CRD# 348957

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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 RICHARD NOONAN (CRD# 348957)

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 **05/17/2017**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THOMAS R. NOONAN, INC.	CRD# 142143	09/20/1994

### QUALIFICATIONS

This representative is currently registered in **0** 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	AVENIR FINANCIAL GROUP	148490	NEW YORK, NY	02/17/2015 - 12/14/2015
B	AVENIR FINANCIAL GROUP	148490	NEW YORK, NY	07/26/2013 - 08/27/2013
B	AVENIR FINANCIAL GROUP	148490	FT. LAUDERDALE, FL	03/08/2012 - 04/10/2013

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



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

#### Employment 1 of 1

Firm Name: **THOMAS R. NOONAN, INC.**  
Main Address: FT. LAUDERDALE, FL  
Firm ID#: 142143

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	09/20/1994

#### Branch Office Locations

**THOMAS R. NOONAN, INC.**  
FT. LAUDERDALE, FL







## 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 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**


#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	03/02/1993
	Financial and Operations Principal Examination (S27)	Series 27	12/16/1992
	Registered Options Principal Examination (S4)	Series 4	09/13/1977
	Registered Principal Examination (S40)	Series 40	01/22/1977

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	12/14/2015
	AMEX Put and Call Exam (PC)	PC	11/13/1981
	Interest Rate Options Examination (S5)	Series 5	11/13/1981
	Registered Representative Examination (S1)	Series 1	05/28/1969

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/03/1982



## 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	02/17/2015 - 12/14/2015	AVENIR FINANCIAL GROUP	CRD# 148490	NEW YORK, NY
B	07/26/2013 - 08/27/2013	AVENIR FINANCIAL GROUP	CRD# 148490	NEW YORK, NY
B	03/08/2012 - 04/10/2013	AVENIR FINANCIAL GROUP	CRD# 148490	FT. LAUDERDALE, FL
B	03/02/1993 - 04/23/2010	UNION FINANCIAL CORP.	CRD# 30650	FT LAUDERDALE, FL
B	03/04/1982 - 06/02/1993	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	09/14/1981 - 03/08/1982	ROSS, STEBBINS INC.	CRD# 6381	
B	02/10/1981 - 09/29/1981	JOHN MUIR & CO.	CRD# 2837	
B	07/30/1979 - 02/09/1980	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	01/18/1978 - 08/16/1979	LOEB PARTNERS	CRD# 7534	
B	05/05/1977 - 01/18/1978	HORNBLOWER, WEEKS, NOYES & TRASK INCORPORATED	CRD# 7394	
B	06/18/1976 - 05/05/1977	HORNBLOWER & WEEKS - HEMPHILL, NOYES INCORPORATED	CRD# 412	
B	06/02/1969 - 07/30/1976	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	

#### 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
05/2008 - Present	ANY LAB TEST BROWARD	VICE PRESIDENT	N	FT. LAUDERDALE, FL, United States
06/1994 - Present	THOMAS R NOONAN INC	PRESIDENT	Y	FT LAUDERDALE, FL, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/1994 - Present	THOMAS R. NOONAN	INVESTMENT ADVISOR PUBLIC SPEAKER	N	FT. LAUDERDALE, FL, 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)THOMAS R. NOONAN, PUBLIC SPEAKER, 2409 N. ATLANTIC BLVD, FT. LAUDERDALE, FL 33305. I OFFER TO SPEAK AT CONFERENCES ABOUT BUSINESS TOPICS. I NEVER OFFER INVESTMENT ADVICE AND NEVER SOLICIT INVESTMENT RELATED BUSINESS. I AM LISTED AS A BUSINESS SPEAKER ON SEVERAL SPEAKING WEBSITES BUT HAVE NO OWNERSHIP NOR INCOME FROM ANYONE. I BEGAN PUBLIC SPEAKING IN 1994. I SPEND LESS THAN 1 HOUR PER MONTH ON THIS BUSINESS.
- 2)ANY LAB TEST BROWARD, 2409 N. ATLANTIC BLVD., FT. LAUDERDALE, FL 33305. THIS IS A HEALTH TESTING BUSINESS THAT IS OWNED A THIRD EACH BY MY WIFE AND 2 SONS. I AM LISTED ONLY FOR THE PURPOSE OF FILING STATE REGISTRATION FORMS AND TAX RETURNS. THE BUSINESS STARTED IN 2008. I HAVE NEVER RECEIVED ANY COMPENSATION FROM THIS BUSINESS. I SPEND LESS THAN 1 HOUR PER MONTH ON THIS BUSINESS.
- 3)ALLEN AND NOONAN. 2409 N. ATLANTIC BLVD., FT. LAUDERDALE, FL 33305. THIS IS A NEW FINRA REGISTERED BROKER/DEALER THAT HAS NOT BEEN APPROVED YET. I AM 50% OWNER AND DAVID ALLEN OWNS 50%. I PROVIDED THE INVESTMENT CAPITAL AND DAVID ALLEN IS RESPONSIBLE FOR ALL THE REGULATORY FILINGS. THE BUSINESS HAS BEEN IN THE FORMATION STAGE FOR APPROXIMATELY 6 MONTHS. I HAVE RECEIVED NO INCOME FROM THIS BUSINESS. I SPEND LESS THAN 1 HOUR PER MONTH ON THIS 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	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 1

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** AMERICAN STOCK EXCHANGE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/16/1980

**Docket/Case Number:** Unknown

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/16/1980

**Sanctions Ordered:** Censure  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 05-16-80: CENSURED & SUSPENDED FOR PERIOD OF 2 WEEKS. WEEKLY BULLETIN DATED 10/24/80). THE EXCHANGE FOUND THAT NOONAN



VIOLATED EXCHANGE RULE 411 AND 922, IN THAT HE FAILED TO EXERCISE DUE DILIGENCE TO LEARN THE ESSENTIAL FACTS RELATIVE TO A PUBLIC CUSTOMER TRADING IN OPTIONS, AND THAT CUSTOMERS'S FINANCIAL SITUATION AND CAPABILITIES; AND EXCHANGE RULE 922 IN THAT HE EFFECTED OPENING UNCOVERED WRITING TRANSACTIONS IN VARIOUS CALL OPTIONS CONTRACTS FOR THE PUBLIC CUSTOMER AT A TIME WHEN HE KNEW, OR SHOULD HAVE KNOWN, THAT THERE WAS NO REASONABLE BASIS TO BELIEVE THAT THE TRANSACTIONS WERE SUITABLE FOR THAT CUSTOMER OR THAT HE HAD THE FINANCIAL CAPABILITY TO MEET REASONABLY FORESEEABLE MARGIN CALLS. THE SUSPENSION COMMENCED 6/1/80 AND CONCLUDED 6/14/80.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** AMERICAN STOCK EXCHANGE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/16/1980

**Docket/Case Number:** Unknown

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** VIOLATION OF AMERICAN STOCK EXCHANGE RULES 411,922, AND 923

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/16/1980

**Sanctions Ordered:** Censure  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE AMERICAN STOCK EXCHANGE'S ALLEGATIONS, MR. NOONAN SETTLED WITH THE AMERICAN STOCK EXCHANGE. MR. NOONAN WAS CENSURED AND SUSPENDED FOR TWO WEEKS FROM EMPLOYMENT WITH ANY MEMBER OR MEMBER ORGANIZAION OF THE EXCHANGE.

**Broker Statement** SEE ATTACHED



## End of Report

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