



IAPD Report

Thomas Wayne Cook

CRD# 4618531

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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 Wayne Cook (CRD# 4618531)

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 **07/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/24/2025
IA	LPL FINANCIAL LLC	CRD# 6413	06/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Medford, OR	01/20/2022 - 06/25/2025
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	Medford, OR	10/25/2021 - 06/25/2025
B	EDWARD JONES	250	EAGLE POINT, OR	02/20/2003 - 09/29/2021

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/24/2025
B	Alaska	Agent	Approved	06/24/2025
B	Arizona	Agent	Approved	06/24/2025
B	California	Agent	Approved	06/24/2025
B	Colorado	Agent	Approved	06/24/2025
B	Florida	Agent	Approved	06/24/2025
B	Idaho	Agent	Approved	06/24/2025
B	Missouri	Agent	Approved	06/24/2025
B	Nevada	Agent	Approved	06/24/2025
B	Oklahoma	Agent	Approved	06/24/2025
B	Oregon	Agent	Approved	06/24/2025
IA	Oregon	Investment Adviser Representative	Approved	06/24/2025
B	Washington	Agent	Approved	06/24/2025



Qualifications

Branch Office Locations

LPL FINANCIAL LLC
EAGLE POINT, OR

LPL FINANCIAL LLC
3228 HILLCREST PARK DR
MEDFORD, OR 97504



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	02/18/2003
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/10/2022
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Uniform Securities Agent State Law Examination (S63)	Series 63	02/21/2003
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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
IA	01/20/2022 - 06/25/2025	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Medford, OR
B	10/25/2021 - 06/25/2025	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	Medford, OR
B	02/20/2003 - 09/29/2021	EDWARD JONES	CRD# 250	EAGLE POINT, OR

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
06/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Medford, OR, United States
10/2021 - Present	Cook Advisors LLC	Officer - CEO	N	Medford, OR, United States
01/2022 - 06/2025	Raymond James Financial Services Advisors, Inc	Investment Adviser Representative	Y	Medford, OR, United States
10/2021 - 06/2025	Bell Wealth Advisors	Registered Representative	Y	Medford, OR, United States
10/2021 - 06/2025	Bell Wealth Management	Independent Contractor	N	Medford, OR, United States
10/2021 - 06/2025	Concurrent Advisors	Employee	Y	Medford, OR, United States
10/2021 - 06/2025	Raymond James Financial Services, Inc	Registered Representative	Y	Medford, OR, United States
12/2002 - 09/2021	EDWARD JONES	Financial Advisor	Y	ST LOUIS, MO, 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. Cook Advisors LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Medford, OR 97504 - Start Date: 04/01/2025 - 120 Hrs/Mth - 30 Hrs During Trading - Time Spent: 60
2. Bell Wealth Partners - DBA for LPL Business (entity for LPL business) - Investment Related - Medford, OR 97504 - Start Date: 06/24/2025 - 40 Hrs/Mth - 10 Hrs During Trading - Time Spent: 40



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	2

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:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., L.P.
Allegations:	The client alleges that the financial advisor did not invest her funds in March of 2021.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	No damage amount alleged. The Firm cannot make a good faith determination that damage from the alleged conduct is less than \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/02/2021
Complaint Pending?	No
Status:	Denied
Status Date:	12/06/2021
Settlement Amount:	

**Individual Contribution Amount:**

Firm Statement After completion of the firm's investigation into client's allegations, claim was denied.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: The client alleges that the financial advisor did not invest her funds in March of 2021.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): No damage amount alleged. The Firm cannot make a good faith determination that damage from the alleged conduct is less than \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/02/2021

Complaint Pending? No

Status: Denied

Status Date: 12/06/2021

Settlement Amount:

Individual Contribution Amount:

Broker Statement The interactions with this client were absolutely perfect-early on. After she returned our firms risk-tolerance questionnaire I made a proposal to her that she liked and agreed to and invested her money in her accounts with a sales charge discount commitment over 13-mo via an LOI. We also created an emergency fund that wasn't invested for future cash needs she identified.

In March of 2020 when the COVID news began to affect the market (MAR of 2020 pulled back approx. 20-30%) we began discussions about her account value declines and initially she was content with inaction but a week or so later despite my suggestion to stay invested and aligned with her stated risk appetite she exchanged all of her fund positions to take no more risk which locked in her losses at the month lows. After repeated encouragement to exchange back into the original funds she did some small withdrawals for previously stated cash needs and remained apprehensive about going back into previous funds due to her experience in MAR 2020.

Early in 2021 we discussed via phone having a face-face meeting to once again readdress cost free exchanges to participate in further market recovery she indicated to me that she was relocating out of the local area and she had decided



to transfer her account back to her original Advisor there and shortly thereafter I saw the transfer. I never had any conversation with her where she authorized me to put her investments back into the original market based (risk aligned) investments before her requested transfer was electronically processed in 2021.

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT STATES SHE TRANSFERRED IN FIVE GOLD/SILVER STOCKS AND INSTRUCTED THE FA TO LIQUIDATE TWO. SHE STATES THE FA SOLD ALL FIVE BECAUSE HE DID NOT FAVOR KEEPING THREE. SHE STATES SHE INFORMED THE FA SHE DID NOT WANT ANY BOND FUNDS, BUT HE PURCHASED THESE IN HER ACCOUNT. SHE STATES THE FA KEPT PRESSURING HER ABOUT ASSETS HELD AT THE BANK. SHE STATES SHE FELT PRESSURED INTO CASHING IN A LARGE CD AT THE BANK WITH A PENALTY OF \$7752.31. SHE STATES SHE INTENDED TO PURCHASE A HOUSE WITH THE PROCEEDS OF THE CD, BUT ALL THE FUNDS WERE INVESTED. SHE STATES THE FA PRESSURED HER INTO DEPOSITING AN ADDITIONAL \$25000 INTO THE ACCOUNT AND WANTED TO SET HER WITH A MONTHLY WITHDRAWAL BASED ON HER EXPENSES. SHE STATES THE CHANGES WERE MADE AT HER EXPENSE AND FOR THE BENEFIT OF THE FA.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$7,752.31

Customer Complaint Information**Date Complaint Received:** 08/13/2007**Complaint Pending?** No**Status:** Denied**Status Date:** 09/17/2007**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

OUR RECORDS INDICATE THE CLIENT OPENED TWO TRUST ACCOUNTS ON 1/9/07- ONE A MARITAL TRUST AND THE OTHER A FAMILY TRUST. ACCORDING TO THE FA, HE REVIEWED WITH THE CLIENT HER RISK TOLERANCE, GOALS AND OBJECTIVES PRIOR TO OPENING THE ACCOUNT. IT IS OUR UNDERSTANDING HE RISK TOLERANCE DID NOT INCLUDE AGGRESSIVE GROWTH HOLDINGS. THE FIVE STOCKS THAT WERE TRANSFERRED IN WERE CONSIDERED AGGRESSIVE GROWTH HOLDINGS AND WERE LIQUIDATING AFTER REVIEWING WITH THE CLIENT. THE PROCEEDS WERE INVESTED IN VAN KAMPEN MUTUAL FUNDS WITH A \$250,000 BREAKPOINT AND A MONEY MARKET ACCOUNT WITH CHECK WRITING PRIVILEGES. THE FA REVIEWED WITH THE CLIENT HER OTHER ACCOUNTS AND RECOMMENDED LIQUIDATING A LARGE CD BECAUSE IT WAS EARNING LESS THAN THE MONEY MARKET ACCOUNT. THE FA STATES THE CLIENT AGREED AND THE CD WAS LIQUIDATED. THE FUNDS WERE DEPOSITED AND INVESTED INTO SEVERAL MUTUAL FUND FAMILIES ALL WITH A BREAKPOINT OF \$250,000. THE FA STATES THE PENALTY THE



CLIENT IS REFERRING TO IS PROBABLY THE POTENTIAL INTEREST THAT COULD HAVE BEEN EARNED IF THE CD WAS NOT LIQUIDATED. BASED ON OUR REVIEW, IT IS OUR UNDERSTANDING THE CLIENT APPROVED THIS LIQUIDATION BASED ON THE RECOMMENDATION OF THE FA. IN LIGHT OF THESE CIRCUMSTANCES THE CLIENT'S REQUEST FOR REIMBURSEMENT IS RESPECTFULLY DENIED.



End of Report

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