



IAPD Report

THOMAS AUGUSTUS HUNTER

CRD# 4915332

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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 AUGUSTUS HUNTER (CRD# 4915332)

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 **08/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PFS INVESTMENTS INC.	CRD# 10111	11/17/2016
IA	PRIMERICA ADVISORS	CRD# 10111	11/22/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	PRIMERICA ADVISORS	10111	SNELLVILLE, GA	03/05/2014 - 11/17/2016
B	PFS INVESTMENTS INC.	10111	SNELLVILLE, GA	04/06/2005 - 11/17/2016

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	3
Criminal	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PRIMERICA ADVISORS**
Main Address: 1 PRIMERICA PARKWAY
DULUTH, GA 30099-0001
Firm ID#: 10111

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	11/17/2016
B FINRA	Investment Co./Variable Contracts Prin	Approved	11/17/2016
B California	Agent	Approved	11/17/2016
B Florida	Agent	Approved	11/17/2016
B Georgia	Agent	Approved	11/17/2016
IA Georgia	Investment Adviser Representative	Approved	11/22/2016
B Kansas	Agent	Approved	12/27/2018
B New York	Agent	Approved	11/17/2016
B South Carolina	Agent	Approved	11/02/2017
B Wisconsin	Agent	Approved	12/17/2018

Branch Office Locations

PRIMERICA ADVISORS
2400 HERODIAN WAY SE
STE 110-E
SMYRNA, GA 30080

PRIMERICA ADVISORS
BISHOP, GA




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/07/2008

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/05/2005

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/05/2014
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/2005

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	03/05/2014 - 11/17/2016	PRIMERICA ADVISORS	CRD# 10111	SNELLVILLE, GA
B	04/06/2005 - 11/17/2016	PFS INVESTMENTS INC.	CRD# 10111	SNELLVILLE, GA

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
09/2018 - Present	THE LEGACY ADVISORY FIRM, LLC.	TAX SERVICES	N	ATLANTA, GA, United States
01/2005 - Present	PFS INVESTMENTS INC.	SALES	Y	SMYRNA, GA, United States
08/2004 - Present	PRIMERICA FINANCIAL SERVICES	SALES	Y	SMYRNA, GA, United States
04/2016 - 09/2018	HUNTER & ASSOC. ADVISORY FIRM LLC	TAX PREPARER/OFFICE ASSISTANT	N	DACULA, GA, 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.

Sales of investment-related products; part-time or full-time, for companies affiliated with PFS Investments Inc. I may also receive non-investment related compensation from Primerica Mortgage, LLC for the sale of loan products and/or Primerica Client Services, Inc. (a co-located affiliate of PFS Investments Inc.) for part-time referrals of home security and automation products, as well as other home related services.

08/2018 - Present: The Crabby Hunter, LLC; Member

Hunter & Associates Firm Inc., Investment Related, Bishop, GA 30621, Primerica Business Purposes, Owner, 12/2015 to Present, 160 hours per month (140 hours per month during securities trading hours), legal entity formed solely for Primerica 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	3
Criminal	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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Other: SURRENDER OF LICENSE
Date Initiated:	11/28/2018
Docket/Case Number:	2018-0127-S
Employing firm when activity occurred which led to the regulatory action:	PFS INVESTMENTS, INC
Product Type:	Insurance
Allegations:	RESPONDENT FAILED TO TIMELY DISCLOSE THAT HE WAS THE SUBJECT OF CRIMINAL PROSECUTION.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	11/28/2018
Sanctions Ordered:	Other: NO SANCTIONS ORDERED. REPRESENTATIVE SURRENDERED LICENSE.



Broker Statement I FAILED TO REPORT MY CRIMINAL ACTION WITHIN THE ALLOWABLE TIME FRAME TO THE NEW YORK DEPARTMENT OF FINANCIAL SERVICES. I WAS GIVEN THE OPTION OF PAYING A LARGE PENALTY OR SURRENDERING MY LICENSE AND I CHOSE TO SURRENDER MY LICENSE.

Disclosure 2 of 3

Reporting Source: Individual
Regulatory Action Initiated By: GA DOI
Sanction(s) Sought: Other: PROBATION 12 MONTHS
Date Initiated: 03/08/2018
Docket/Case Number: 11021327
Employing firm when activity occurred which led to the regulatory action: PRIMERICA
Product Type: Insurance
Allegations: FAILED TO PROVIDE DOCUMENTATION OR RECORDS IN RESPONSE TO A WRITTEN REQUEST BY THE COMMISSIONER SENT BY REGISTERED MAIL OR STATUTORY OVERNIGHT DELIVERY, THEREBY CONSTITUTING GROUNDS OF SUSPENSION OF LICENSE.
Current Status: Final
Resolution: Consent
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: 08/13/2018
Sanctions Ordered: Other: PROBATION 12 MONTHS
Broker Statement THIS ACTION IS BASED ON ME NOT REPORTING THE CHANGES IN 2017 TO THE GEORGIA DEPARTMENT OF INSURANCE WITHIN THE 30 DAY ALLOWABLE REPORTING WINDOW AS I WAS UNAWARE OF THE TIME FRAME REQUIRED BY GADOI.

Disclosure 3 of 3

Reporting Source: Individual
Regulatory Action Initiated By: NC DEPARTMENT OF INSURANCE
Sanction(s) Sought: Other: VOLUNTARY SURRENDER OF LICENSE
Date Initiated: 05/01/2018
Docket/Case Number: ASD FILE:57376



Employing firm when activity occurred which led to the regulatory action:	PRIMERICA FINANCIAL SERVICES
Product Type:	Insurance
Allegations:	CRIMINAL OFFENSES WERE NOT REPORTED TO NORTH CAROLINA DEPARTMENT OF INSURANCE UNTIL 12/15/2017, WHICH IS OUTSIDE THE ALLOWABLE REPORTING WINDOW.
Current Status:	Final
Resolution:	VOLUNTARY SURRENDER OF LICENSE
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:	05/01/2018
Sanctions Ordered:	Other: No sanctions were ordered. Representative voluntarily surrendered license.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SUPERIOR COURT
Location of Court:	GWINNETT COUNTY, GA
Docket/Case #:	17B039012
Charge Date:	09/27/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	BATTERY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO PLEA
Disposition of charge:	Reduced
Date of Amended Charge:	11/16/2017
Charge was Amended or reduced to:	BATTERY
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	11/17/2017
Disposition Date:	11/16/2017
Sentence/Penalty:	FINES AND FEES \$805 AND PROBATION OF 12 MONTHS.



End of Report

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