IAPD Report

THOMAS MICHAEL BURKE JR

CRD# 5137927

Section Title	Page(s)

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 MICHAEL BURKE JR (CRD# 5137927)

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 **07/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KOVACK SECURITIES INC.	CRD# 44848	07/06/2022
IA	KOVACK ADVISORS, INC.	CRD# 140808	12/02/2022

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **10** 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	SECURITIES AMERICA ADVISORS, INC.	110518	ROCKLAND, MA	03/08/2022 - 06/16/2022
B	SECURITIES AMERICA, INC.	10205	ROCKLAND, MA	03/07/2022 - 06/16/2022
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	ROCKLAND, MA	01/23/2018 - 03/08/2022

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
Termination	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 **10** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KOVACK SECURITIES INC.**

Main Address: 6451 N. FEDERAL HWY.
SUITE 1201
FT. LAUDERDALE, FL 33308

Firm ID#: 44848

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/06/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	07/06/2022
B	California	Agent	Approved	11/18/2025
B	Connecticut	Agent	Approved	12/14/2022
B	Florida	Agent	Approved	10/25/2022
B	Illinois	Agent	Approved	09/11/2024
B	Maine	Agent	Approved	07/02/2024
B	Massachusetts	Agent	Approved	12/02/2022
B	Nevada	Agent	Approved	11/30/2023
B	New Hampshire	Agent	Approved	12/14/2022
B	North Carolina	Agent	Approved	12/06/2022
B	South Carolina	Agent	Approved	12/16/2022

Branch Office Locations

Qualifications

RK ADVISORS
115 Adams Street
Abington, MA 02351

Employment 2 of 2

Firm Name:	**KOVACK ADVISORS, INC.**
Main Address:	6451 N. FEDERAL HWY SUITE 1201 FT. LAUDERDALE, FL 33308
Firm ID#:	140808

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	12/02/2022

Branch Office Locations

KOVACK ADVISORS, INC.
115 Adams Street
Abington, MA 02351

 Report about THOMAS MICHAEL BURKE JR.

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/19/2006

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/15/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

User Guidance

www.adviserinfo.sec.gov

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	03/08/2022 - 06/16/2022	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	ROCKLAND, MA
B	03/07/2022 - 06/16/2022	SECURITIES AMERICA, INC.	CRD# 10205	ROCKLAND, MA
IA	01/23/2018 - 03/08/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	ROCKLAND, MA
B	12/18/2017 - 03/08/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	ROCKLAND, MA
IA	11/18/2010 - 12/19/2017	INFINEX INVESTMENTS, INC.	CRD# 35371	SOUTH WEYMOUTH, M.
B	11/10/2010 - 12/19/2017	INFINEX INVESTMENTS, INC.	CRD# 35371	SOUTH WEYMOUTH, M.
IA	11/13/2008 - 11/17/2010	INVESTMENT PROFESSIONALS, INC.	CRD# 30184	SHARON, MA
B	11/03/2008 - 11/17/2010	INVESTMENT PROFESSIONALS, INC.	CRD# 30184	SHARON, MA
B	05/22/2006 - 11/17/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HINGHAM, MA

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
07/2022 - Present	Kovack Advisors, Inc.	Financial Advisor	Y	Fort Lauderdale, FL, United States
07/2022 - Present	Kovack Securities, Inc.	Registered Representative	Y	Fort Lauderdale, FL, United States
03/2022 - Present	SECURITIES AMERICA, INC	REGISTERED REP	Y	ROCKLAND, MA, United States
03/2022 - 06/2022	SECURITIES AMERICA ADVISORS	IAR	Y	ROCKLAND, MA, United States
12/2017 - 03/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	ROCKLAND, MA, United States
11/2010 - 12/2017	INFINEX INVESTMENTS, INC.	INVESTMENT EXECUTIVE	Y	QUINCY, MA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2010 - 12/2017	SOUTH SHORE BANK	INVESTMENT EXECUTIVE	Y	QUINCY, MA, 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) DBA - ROCKHAM FINANCIAL PARTNERS - 115 ADAMS STREET, ABINGTON, MA 02351; INVESTMENT RELATED; BROKERAGE, ADVISORY AND INSURANCE; MANAGING PARTNER; 90% OF TIME SPENT.
2) BURKE FAMILY TRUST/ESTATE - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; TRUSTEE OF FAMILY TRUST AND PERSONAL REP FOR PARENTS ESTATE; TRUSTEE; 1% OF TIME SPENT.
3) NOTARY - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; NOTARIZE DOCUMENTS; NOTARY; 1% OF TIME SPENT.
4) HANOVER MA CHAMBER OF COMMERCE; 550 HANOVER STREET, HANOVER, MA 02339; CIVIC COMMITTEE WORK; BOARD MEMBER; 1% OF TIME SPENT.
5) BFHUA - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; HIGH SCHOOL HOCKEY OFFICIAL; UMPIRE; 1% OF TIME SPENT.
6) SUMMER RENTAL PROPERTY - 37 RENAS WAY, DENNIS, MA 02638; NON-INVESTMENT RELATED; PROPERTY MANAGEMNT; LANDLORD; 2% OF TIME SPENT.
7) SONNENRAIN MARKETING PARTNERS - 110 BATES WAY, HANOVER, MA 02339; NON-INVESTMENT RELATED; MARKETING CONSULTANT; CONSULTANT; 2% OF TIME SPENT.
8) FIXED INSURANCE SALES - 115 ADAMS STREET, ABINGTON, MA 02351; INVESTMENT RELATED; FIXED INSURANCE PRODUCTS; MANAGING PARTNER; 10 HOURS/MONTH OF TIME SPENT; 10 HOURS/MONTH SPENT DURING SECURITIES TRADING HOURS.
9) TAX RETURN PREPARATION - 115 ADAMS STREET, ABINGTON, MA 02351; NON-INVESMENT RELATED; TAX PREPARATION FOR INDIVIDUALS; TAX PREPARER; STATE DATE 3.1.2024; 20 HOURS/MONTH OF TIME SPENT ; LESS THAN 1% OF TIME SPENT DURING SECURITIES HOURS.

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
Termination	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:	Massachusetts Securities Division
Sanction(s) Sought:	Other: Conditional Registration
Date Initiated:	12/02/2022
Docket/Case Number:	R-2022-0096
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Securities America, Inc. & Securities America Advisors, LLC
Product Type:	No Product
Allegations:	Due to recent disclosure incidents regarding performing a task for a client that should have been done by the client, sworn testimony before the Division in regard to his internal review and termination disclosures and FINRA's ongoing inquiry, the Division placed conditions on Burke's registration as a BD Agent of KSI and as an IAR of KAI in Massachusetts.
Current Status:	Final
Resolution:	Consent Order - Conditional Registration

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:	12/02/2022
Sanctions Ordered:	Undertaking Other: For a period of 18 months, KSI and KAI must supervise Burke on a heightened basis which must, at a minimum, include the following: KSI and KAI Supervisor, Supervisor's successor, or a designee must on quarterly basis: (1) randomly select the greater of ten (10), or ten percent (10%), of Burke's Massachusetts customer accounts; (2) review all of Burke's emails, all documents requiring customer signature, and all requests requiring customer approval; (3) obtain and review a written statement, signed by Burke, in which Burke indicates that he has not identified himself as a customer and that he has maintained proper records of all calls with third parties; The compliance department's annual audit must (1) be conducted on-site; (2) a mandatory review of the greater of ten (10) or ten percent (10%) of Burke's Massachusetts customer accounts by the compliance department; (3) An in-person interview with Burke; and (4) a mandatory review of Burke's personnel file to ensure compliance with this Order. KSI must notify the Division of the result of FINRA's Review.

Reporting Source:	Individual
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Other: Conditional Registration
Date Initiated:	12/02/2022
Docket/Case Number:	R-2022-0096
Employing firm when activity occurred which led to the regulatory action:	Securities America, Inc. & Securities America Advisors, LLC
Product Type:	No Product
Allegations:	Due to recent disclosure incidents regarding performing a task for a client that should have been done by the client, sworn testimony before the Division in regard to his internal review and termination disclosures and FINRA's ongoing inquiry, the Division placed conditions on Burke's registration as a BD Agent of KSI and as an IAR of KAI in Massachusetts.
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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	SECURITIES AMERICA, INC.
Termination Type:	Permitted to Resign
Termination Date:	05/26/2022
Allegations:	FP performed a task for a client that should have been done by the client. The client was aware, approved the activity not realizing it was a violation. No harm done.
Product Type:	Mutual Fund

End of Report

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