



## IAPD Report

# THOMAS S WAGNER

CRD# 5343979

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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 S WAGNER (CRD# 5343979)

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 **08/31/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	04/28/2022
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	05/04/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>IA</b>	SECURITIES AMERICA ADVISORS, INC.	110518	SOMERVILLE, NJ	11/06/2017 - 04/28/2022
<b>B</b>	SECURITIES AMERICA, INC.	10205	SOMERVILLE, NJ	10/27/2017 - 04/28/2022
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	SOMERVILLE, NJ	07/30/2014 - 10/31/2017

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
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 6 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>B</b> FINRA	Invest. Co and Variable Contracts	Approved	04/28/2022
<b>B</b> Connecticut	Agent	Approved	04/28/2022
<b>B</b> Florida	Agent	Approved	04/28/2022
<b>B</b> Georgia	Agent	Approved	09/05/2023
<b>B</b> Missouri	Agent	Approved	04/28/2022
<b>B</b> New Jersey	Agent	Approved	04/28/2022
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	05/04/2022
<b>B</b> New York	Agent	Approved	04/28/2022

### Branch Office Locations

**LPL FINANCIAL LLC**  
1301 ROUTE 28  
SOMERVILLE, NJ 08876



## 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
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/30/2014

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/2015
Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/2014

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	11/06/2017 - 04/28/2022	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SOMERVILLE, NJ
B	10/27/2017 - 04/28/2022	SECURITIES AMERICA, INC.	CRD# 10205	SOMERVILLE, NJ
B	07/30/2014 - 10/31/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	SOMERVILLE, NJ
IA	03/10/2011 - 10/31/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	SOMERVILLE, NJ

### 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
04/2022 - Present	LPL Financial LLC	Registered Representative	Y	Somerville, NJ, United States
08/2010 - Present	WAGNER & ASSOCIATES, LLC	CPA / OWNER	N	SOMERVILLE, NJ, United States
10/2017 - 04/2022	SECURITIES AMERICA ADVISORS	IAR	Y	SOMERVILLE, NJ, United States
10/2017 - 04/2022	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SOMERVILLE, NJ, United States
01/2011 - 10/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	WHITEHOUSE STATIONS, NJ, 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)04/28/2022 - Wagner & Associates LLC - Tax Prep/Accounting/CPA - Inv Rel - At Reported Business Location(s) - Start: 10/1976 - 80 Hr/Mth

2)04/28/2022 - Real Estate Rental - Inv Rel - Sommerville, NJ -Start: 01/2014 - 1 Hr/Mth



## 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
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 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NEW JERSEY STATE BOARD OF ACCOUNTANCY
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	09/27/1996
<b>Docket/Case Number:</b>	ADMINISTRATIVE ACTION-NO DOCKET #
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WAGNER & COMPANY, CPAS
<b>Product Type:</b>	No Product
<b>Allegations:</b>	PLED GUILTY TO AIDING AND ABETTING A CLIENT IN THE EVASION OF \$2,300 IN FEDERAL INCOME TAX
<b>Current Status:</b>	Final
<b>Resolution:</b>	CPA LICENSE REINSTATED
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/24/2002
<b>Sanctions Ordered:</b>	Suspension



**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** N/A

**Duration:** UNDETERMINED

**Start Date:** 09/27/1997

**End Date:** 01/24/2002

**Broker Statement** CPA LICENSE WAS VOLUNTARILY SUSPENDED AND IT WAS REINSTATED ON 1/24/2002



## 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

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES DISTRICT COURT, DISTRICT OF NEW JERSEY
<b>Location of Court:</b>	NEWARK, NEW JERSEY
<b>Docket/Case #:</b>	9601566
<b>Charge Date:</b>	04/07/1996
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	AIDING AND ABETTING TAX EVASION FOR LESS THAN \$2,500
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	04/06/1997
<b>Disposition Date:</b>	04/07/1997
<b>Sentence/Penalty:</b>	START DATE OF PROBATION 04/07/1997, TERMINATION DATE OF PROBATION 12/22/1999 (TERMINATED EARLY) FINE OF \$15,000, PAID IN FULL 07/07/1997
<b>Broker Statement</b>	PROBATION WAS TERMINATED EARLY, CPA LICENSE WAS REINSTATED UPON REQUEST FOR REINSTATEMENT - ALL SUPPORTING DOCUMENTS ARE ATTACHED



## End of Report

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