



IAPD Report

THOMAS PATRICK CAFFREY SR.

CRD# 5866720

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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 PATRICK CAFFREY SR. (CRD# 5866720)

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 **10/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MOYER WEALTH MANAGEMENT	CRD# 317908	04/27/2025
IA	DONALD W. NICHOLSON & ASSOCIATES LTD	CRD# 107054	08/07/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	CAFFREY RETIREMENT SOLUTIONS	312280	PERKIOMENVILLE, PA	08/09/2021 - 12/31/2024
IA	CSENGE ADVISORY GROUP, LLC	131167	Malvern, PA	04/06/2021 - 07/14/2021
B	LION STREET FINANCIAL, LLC	165828	Pottstown, PA	07/27/2018 - 06/30/2021

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?

No



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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **DONALD W. NICHOLSON & ASSOCIATES LTD**
Main Address: 1403 SILVERSIDE RD
STE B
WILMINGTON, DE 19810
Firm ID#: 107054

	Regulator	Registration	Status	Date
	Delaware	Investment Adviser Representative	Approved	08/08/2025
	Pennsylvania	Investment Adviser Representative	Approved	08/07/2025

Branch Office Locations

DONALD W. NICHOLSON & ASSOCIATES LTD
1403 SILVERSIDE RD
STE B
WILMINGTON, DE 19810

Employment 2 of 2

Firm Name: **MOYER WEALTH MANAGEMENT**
Main Address: LANSDALE, PA
Firm ID#: 317908

	Regulator	Registration	Status	Date
	Pennsylvania	Investment Adviser Representative	Approved	04/27/2025

Branch Office Locations

MOYER WEALTH MANAGEMENT
LANSDALE, PA



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, 3 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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	General Securities Representative Examination (S7TO)	Series 7TO	03/29/2024
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/23/2014

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	02/26/2021
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/19/2016

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](#).



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	08/09/2021 - 12/31/2024	CAFFREY RETIREMENT SOLUTIONS	CRD# 312280	PERKIOMENVILLE, PA
IA	04/06/2021 - 07/14/2021	CSENGE ADVISORY GROUP, LLC	CRD# 131167	Malvern, PA
B	07/27/2018 - 06/30/2021	LION STREET FINANCIAL, LLC	CRD# 165828	Pottstown, PA
IA	07/27/2018 - 12/31/2018	LION STREET ADVISORS, LLC	CRD# 167610	Malvern, PA
IA	01/30/2017 - 07/31/2018	FSC SECURITIES CORPORATION	CRD# 7461	MALVERN, PA
B	01/28/2015 - 07/31/2018	FSC SECURITIES CORPORATION	CRD# 7461	MALVERN, PA
B	06/23/2014 - 10/23/2014	PARK AVENUE SECURITIES LLC	CRD# 46173	DOYLESTOWN, PA

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	Donald W. Nicholson & Associates Ltd.	Financial Advisor	Y	Wilmington, DE, United States
04/2025 - Present	Moyer Wealth Management	Financial Advisors	Y	Montgomeryville, PA, United States
05/2022 - 04/2025	Caffrey Retirement Solutions	Owner/Investment Adviser Representative	Y	Perkiomenville, PA, United States
12/2012 - 05/2022	Main Line Financial Advisors	Financial Advisor	Y	Malvern, PA, 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.

Name of other business: Moyer Wealth Management;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Is business Investment related: Yes;
Address of other business: 411 Doylestown Road, Suite 706, Montgomeryville, PA 18936;
Nature of other business: Wealth Management;
Your position: Financial Advisors;
Start date of relationship: 04/01/2025
Approx. # of hours /month devote to other business: 96;
Number of hours devoted to other business during securities trading hours: 96.



End of Report

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