



IAPD Report

RICHARD C THOMPSON JR.

CRD# 6443478

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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

RICHARD C THOMPSON JR. (CRD# 6443478)

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 **11/14/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VIRTUE CAPITAL MANAGEMENT, LLC	CRD# 167816	06/18/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	HORTER INVESTMENT MANAGEMENT, LLC	119880	ATLANTA, GA	03/17/2015 - 06/19/2019

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
Judgment/Lien	11



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

Employment 1 of 1

Firm Name: **VIRTUE CAPITAL MANAGEMENT, LLC**

Main Address: 12 CADILLAC DR.
SUITE 280
BRENTWOOD, TN 37027

Firm ID#: 167816

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	06/18/2019

Branch Office Locations

VIRTUE CAPITAL MANAGEMENT, LLC

3330 Cumberland Blvd.
Suite 500
Atlanta, GA 30339



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

01/05/2015



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	03/17/2015 - 06/19/2019	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	ATLANTA, 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
06/2019 - Present	VIRTUE CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BRENTWOOD, TN, United States
01/2014 - Present	ADVANCED LEGACY CONCEPTS	AGENT	Y	ATLANTA, GA, United States
01/2015 - 06/2019	HORTER INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, 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) ADVANCED LEGACY CONCEPTS , Title: AGENT, Description: INSURANCE AND ANNUITIES SALES, FINANCIAL PLANNING SERVICES; Start Date: 01-01-2014, Address: 3330 CUMBERLAND BLVD, SUITE 500, ATLANTA, GA 30339 , Investment-related? YES, Hours per month: 160, During trading hours: 160



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
Judgment/Lien	11

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 11

Reporting Source:	Individual
Judgment/Lien Holder:	FULTON, GA
Judgment/Lien Amount:	\$2,321.00
Judgment/Lien Type:	Tax
Date Filed with Court:	05/06/2009
Date Individual Learned:	05/22/2019
Type of Court:	COUNTY COURT
Name of Court:	COBB COUNTY SUPERIOR COURT
Location of Court:	COBB COUNTY, GA
Docket/Case #:	0943339
Judgment/Lien Outstanding?	Yes
Broker Statement	POSSIBLE OUTSTANDING ISSUE FROM AN OLD RENTAL PROPERTY

Disclosure 2 of 11

Reporting Source:	Individual
Judgment/Lien Holder:	CITY OF ATLANTA/FULTON COUNTY
Judgment/Lien Amount:	\$821.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/10/2010
Date Individual Learned:	05/22/2019
Type of Court:	COUNTY COURT
Name of Court:	FULTON COUNTY SUPERIOR COURT



Location of Court: FULTON COUNTY, GA
Docket/Case #: BK1435PG2013
Judgment/Lien Outstanding? Yes
Broker Statement POSSIBLE OUTSTANDING ISSUE FROM AN OLD RENTAL PROPERTY

Disclosure 3 of 11

Reporting Source: Individual
Judgment/Lien Holder: FULTON, GA
Judgment/Lien Amount: \$487.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/12/2010
Date Individual Learned: 05/22/2019
Type of Court: COUNTY COURT
Name of Court: COBB COUNTY SUPERIOR COURT
Location of Court: COBB COUNTY, GA
Docket/Case #: 1581982
Judgment/Lien Outstanding? Yes
Broker Statement POSSIBLE OUTSTANDING ISSUE FROM AN OLD RENTAL PROPERTY

Disclosure 4 of 11

Reporting Source: Individual
Judgment/Lien Holder: CITY OF ATLANTA/FULTON COUNTY
Judgment/Lien Amount: \$1,695.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/12/2010
Date Individual Learned: 05/22/2019
Type of Court: COUNTY COURT
Name of Court: FULTON COUNTY SUPERIOR COURT
Location of Court: FULTON COUNTY, GA
Docket/Case #: 1581982
Judgment/Lien Outstanding? Yes
Broker Statement POSSIBLE OUTSTANDING ISSUE FROM AN OLD RENTAL PROPERTY

Disclosure 5 of 11

Reporting Source: Individual
Judgment/Lien Holder: CITY OF ATLANTA/FULTON COUNTY
Judgment/Lien Amount: \$509.00
Judgment/Lien Type: Tax



Date Filed with Court: 11/10/2010
Date Individual Learned: 05/22/2019
Type of Court: COUNTY COURT
Name of Court: FULTON COUNTY SUPERIOR COURT
Location of Court: FULTON COUNTY, GA
Docket/Case #: 1581982
Judgment/Lien Outstanding? Yes
Broker Statement POSSIBLE OUTSTANDING ISSUES FROM AN OLD RENTAL PROPERTY

Disclosure 6 of 11

Reporting Source: Individual
Judgment/Lien Holder: CITY OF ATLANTA/FULTON COUNTY
Judgment/Lien Amount: \$262.00
Judgment/Lien Type: Tax
Date Filed with Court: 12/21/2010
Date Individual Learned: 05/22/2019
Type of Court: COUNTY COURT
Name of Court: FULTON COUNTY SUPERIOR COURT
Location of Court: FULTON COUNTY, GA
Docket/Case #: 1581982
Judgment/Lien Outstanding? Yes
Broker Statement POSSIBLE OUTSTANDING ISSUE FROM AN OLD RENTAL PROPERTY

Disclosure 7 of 11

Reporting Source: Individual
Judgment/Lien Holder: CITY OF ATLANTA/FULTON COUNTY
Judgment/Lien Amount: \$39,721.00
Judgment/Lien Type: Tax
Date Filed with Court: 02/28/2011
Date Individual Learned: 03/01/2011
Type of Court: COUNTY COURT
Name of Court: COBB COUNTY SUPERIOR COURT
Location of Court: COBB COUNTY, GA
Docket/Case #: 23657
Judgment/Lien Outstanding? Yes
Broker Statement RESULT OF AN IRS AUDIT OF DEFUNCT BUSINESS, RESULTING IN REVERSAL OF CPS'S WRITE OFFS, AND ASSIGNING TAX TO PARTNERS OF OLD COMPANY

**Disclosure 8 of 11**

Reporting Source: Individual
Judgment/Lien Holder: DEPARTMENT OF REVENUE
Judgment/Lien Amount: \$39,560.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/13/2011
Date Individual Learned: 11/01/2011
Type of Court: COUNTY COURT
Name of Court: COBB COUNTY SUPERIOR COURT
Location of Court: COBB COUNTY, GA
Docket/Case #: 11036834
Judgment/Lien Outstanding? Yes
Broker Statement RESULT OF AN IRS AUDIT OF A DEFUNCT BUSINESS RESULTING IN REVERSAL OF CPA'S WRITE OFFS OF 2007 TAX RETURN AND ASSIGNING TAX TO PARTNERS COMPANY

Disclosure 9 of 11

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$252,850.00
Judgment/Lien Type: Tax
Date Filed with Court: 07/06/2016
Date Individual Learned: 08/01/2016
Type of Court: COUNTY COURT
Name of Court: FULTON COUNTY SUPERIOR COURT
Location of Court: FULTON COUNTY, GA
Docket/Case #: 84713
Judgment/Lien Outstanding? Yes
Broker Statement LIEN CREATED BY AUDIT OF OLD BUSINESS TAX RETURNS DATING BACK TO 2006. IRS REVERSED CREDITS ON FORMER BUSINESS PARTNERSHIPS. PAYMENT ARRANGEMENTS ARE IN PLACE.

Disclosure 10 of 11

Reporting Source: Individual
Judgment/Lien Holder: DEPARTMENT OF REVENUE
Judgment/Lien Amount: \$2,123.00
Judgment/Lien Type: Tax
Date Filed with Court: 01/01/2008



Date Individual Learned: 05/07/2018

Type of Court: COUNTY COURT

Name of Court: COBB COUNTY SUPERIOR COURT

Location of Court: COBB COUNTY, GA

Docket/Case #: 118/3060

Judgment/Lien Outstanding? Yes

Broker Statement PAYMENT ARRANGEMENT WAS MADE ON THIS FEDERAL TAX BALANCE. IRS GROUPED WITH LARGE AMOUNT DATING TO 2006 ALLOWING MORE CURRENT YEAR TO BE PAID FIRST THUS LEAVING 2015 OUTSTANDING

Disclosure 11 of 11

Reporting Source: Individual

Judgment/Lien Holder: DEPARTMENT OF REVENUE

Judgment/Lien Amount: \$49,410.00

Judgment/Lien Type: Tax

Date Filed with Court: 01/01/2018

Date Individual Learned: 05/22/2019

Type of Court: COUNTY COURT

Name of Court: COBB COUNTY SUPERIOR COURT

Location of Court: COBB COUNTY, GA

Docket/Case #: 6834

Judgment/Lien Outstanding? Yes

Broker Statement IN AN EXTENSION OF AN EXISTING STATE TAX LIEN FROM AUDIT OF DEFUNCT BUSINESS 2007 TAX RETURN. PAYMENT ARRANGEMENT IN PLACE.



End of Report

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