



IAPD Report

THOMAS David PUGH

CRD# 6602976

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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 David PUGH (CRD# 6602976)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	10/23/2017
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	06/08/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	AMERITAS INVESTMENT CORP.	14869	CHARLOTTE, NC	07/12/2017 - 11/16/2017
B	PFS INVESTMENTS INC.	10111	GREENVILLE, SC	04/26/2016 - 08/10/2016

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?

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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	10/23/2017
B	Arizona	Agent	Approved	03/15/2021
B	California	Agent	Approved	05/30/2019
B	Connecticut	Agent	Approved	01/11/2024
B	Florida	Agent	Approved	05/31/2019
B	Kentucky	Agent	Approved	12/07/2020
B	Maryland	Agent	Approved	09/02/2021
B	New Jersey	Agent	Approved	10/27/2021
B	New York	Agent	Approved	05/01/2019
B	North Carolina	Agent	Approved	10/23/2017
B	Ohio	Agent	Approved	12/13/2021
B	South Carolina	Agent	Approved	10/23/2017
B	Vermont	Agent	Approved	07/01/2019



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	01/12/2022
B West Virginia	Agent	Approved	05/31/2019
B Wisconsin	Agent	Approved	05/31/2022

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
 102 Renaissance Circle
 Mauldin, SC 29662

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
 Main Address: 1776 PLEASANT PLAIN RD.
 FAIRFIELD, IA 52556-8757
 Firm ID#: 134139

Regulator	Registration	Status	Date
IA South Carolina	Investment Adviser Representative	Approved	06/08/2020

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
 102 Renaissance Circle
 Mauldin, SC 29662



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	04/26/2016

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/2020
Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/2016

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
B	07/12/2017 - 11/16/2017	AMERITAS INVESTMENT CORP.	CRD# 14869	CHARLOTTE, NC
B	04/26/2016 - 08/10/2016	PFS INVESTMENTS INC.	CRD# 10111	GREENVILLE, SC

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
06/2020 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
10/2017 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
10/2016 - Present	Raiser, LLC	Driver	N	Simpsonville, SC, United States
07/2016 - Present	Spartanburg District 7, EP Todd School	Musical Instrument Teacher	N	Spartanburg, SC, United States
06/2017 - 10/2017	Ameritas Investment Corp	Registered Representative	Y	Lincoln, NE, United States
06/2017 - 10/2017	Ameritas Life Insurance Corp	Agent	N	Lincoln, NE, United States
08/2016 - 10/2017	Capital Choice	Independent Sales Agent	Y	Charlotte, NC, United States
04/2016 - 08/2016	PFS Investments Inc.	SALES	Y	GREENVILLE, SC, United States
08/2014 - 08/2016	Primerica Financial Services	SALES	Y	GREENVILLE, SC, United States
03/2015 - 06/2016	Musical Innovations	Sales Representative	N	Greenville, SC, 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. UBER TECHNOLOGIES, 1455 MARKET ST, FL 4, SAN FRANCISCO, CA, 9/2016 AS DRIVER. NIR - 10/WK - 0/TRADING.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. SMARTPRO FINANCIAL LLC, 32 N MAIN ST, STE 102, BELMONT, NC, AS INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES.11/07/18, NIR, 10/WK - 10/TRADING.
3. IMMANUEL LUTHERAN CHURCH, 2820 WOODRUFF RD, SIMPSONVILLE, SC, 9/2018 AS MUSIC DIRECTOR. NIR - 5/WK - 0/TRADING.
4. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL-20/WK-20/TRADING 06/16/20
5. THOMAS PUGH, REAL ESTATE AGENT, 102 W. STONE AVE, GREENVILLE, SC., NIR, 09/09/2021, 160HR/MONTH, 80HR/MONTH TRADE.
6. SMARTPRO FINANCIAL, 2752 Pleasant Rd., Ste. 108, Ft Mill SC 29708, 06/2020, Investment Advisor Representative, DBA Name, INV REL, 160 HR/MO, 120 HR/MO TRADING.



End of Report

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