



IAPD Report

THOMAS CHARLES HOCK

CRD# 708167

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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 CHARLES HOCK (CRD# 708167)

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 **08/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STONEX SECURITIES INC.	CRD# 18456	09/12/2014
IA	STONEX ADVISORS INC.	CRD# 174182	01/30/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	7365	SCHNECKSVILLE, PA	02/12/2007 - 01/30/2015
B	WRP INVESTMENTS, INC.	7365	SCHNECKSVILLE, PA	12/01/2004 - 09/12/2014
IA	WRP INVESTMENTS, INC.	7365	SCHNECKSVILLE, PA	04/28/2005 - 12/31/2005

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	2
Customer Dispute	2
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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243
Firm ID#: 18456

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/12/2014
B FINRA	General Securities Representative	Approved	09/12/2014
B Connecticut	Agent	Approved	09/12/2014
B Florida	Agent	Approved	09/14/2017
B Maryland	Agent	Approved	09/12/2014
B New Jersey	Agent	Approved	09/12/2014
B North Carolina	Agent	Approved	09/12/2014
B Ohio	Agent	Approved	09/12/2014
B Pennsylvania	Agent	Approved	09/12/2014
B Texas	Agent	Approved	06/06/2023
B Virginia	Agent	Approved	01/18/2024

Branch Office Locations

4155 INDEPENDENCE DRIVE



Qualifications

SUITE 1
SCHNECKSVILLE, PA 18078

Bonita Springs, FL

Employment 2 of 2

Firm Name: **STONEX ADVISORS INC.**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243
Firm ID#: 174182

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	01/30/2015

Branch Office Locations

STONEX ADVISORS INC.
4155 Independence Drive
Suite 1
Schnecksville, PA 18078

STONEX ADVISORS INC.
Bonita Springs, FL



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	08/27/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/27/1993
Registered Representative Examination (S1)	Series 1	04/28/1980

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/1980

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	02/12/2007 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	SCHNECKSVILLE, PA
B	12/01/2004 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	SCHNECKSVILLE, PA
IA	04/28/2005 - 12/31/2005	WRP INVESTMENTS, INC.	CRD# 7365	SCHNECKSVILLE, PA
B	11/01/1999 - 12/01/2004	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	01/07/1988 - 11/01/1999	MAIN STREET MANAGEMENT COMPANY	CRD# 547	BOSTON, MA
B	10/16/1987 - 01/19/1988	THE PLANNER'S SECURITIES GROUP, INC.	CRD# 16546	
B	05/05/1980 - 11/05/1987	IDS LIFE INSURANCE COMPANY	CRD# 6321	
B	05/05/1980 - 11/04/1987	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	
B	05/05/1980 - 12/24/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

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
01/2015 - Present	STONEX ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHNECKSVILLE, PA, United States
09/2014 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	SCHNECKSVILLE, 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.

1) Affiliated Financial Planners
 4155 Independence Drive Schnecksville, PA 18066
 Nature of Business: Its a DBA for Thomas C. Hock



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Investment Related: Non-Investment Related

Title: DBA

Duties: N/A

Start Date: 01/01/1987

Approximate Hours Devoted to Business: N/A

Approximate Hours Devoted to Business During Market Hours: N/A

2) Penn Mutual

Nature of Business: Penn Mutual sells and services insurance policies

Investment Related: Yes

Business Position: producer

Business Duties: Producer

Business Start Date: 08/11/2025

Less than one hour spent on this OBA monthly



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	2
Customer Dispute	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	01/09/2007
Docket/Case Number:	0600542
Employing firm when activity occurred which led to the regulatory action:	WRP INVSTMENTS, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENT'S PENDING APPLLCATION FOR REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS DENIED PURSUANT TO SECTIONS 8.E.(I)(J) OF THE ILLINOIS SECURITIES LAW.
Current Status:	Final
Resolution:	Decision



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: 01/09/2007

Regulator Statement RESPONDENT'S PENDING APPLLICATION FOR REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS DENIED PURSUANT TO SECTIONS 8.E.(I)(J) OF THE ILLINOIS SECURITIES LAW. IF YOU HAVE ANY FURTHER QUESTIONS PLEASE CONTACT DAN TUNICK AT 312-793-3384

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 10/26/2006

Docket/Case Number: 0600542

Employing firm when activity occurred which led to the regulatory action: WRP INVESTMENTS,INC.

Product Type: Other

Other Product Type(s): NO PARTICULAR PRODUCT TYPE IS APPLICABLE IN THIS CASE, SINCE IT IS A DENIAL OF REGISTRATION

Allegations: RESPONDENT'S APPLICATION FOR REGISTRATION IN THE STATE OF ILLINOIS IS DENIED PURSUANT TO SECTION 8.E (I)(J) OF THE ILLINOIS SECURITIES ACT.

Current Status: Final

Resolution: Decision

Resolution Date: 01/09/2007

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 11/15/2005

Docket/Case Number: [2005000537201](#)

Employing firm when activity occurred which led to the regulatory action: NATIONAL PLANNING CORPORATION



Product Type:	Insurance
Allegations:	NASD CONDUCT RULE 2110; RESPONDENT SOLICITED AN APPLICATION FOR A VARIABLE LIFE INSURANCE INTENDED FOR ESTATE PLANNING. RESPONDENT ALTERED APPLICATION RECEIVED TO CHANGE THE LISTED ADDRESS FROM ACTUAL RESIDENCE TO CUSTOMER'S PARENT'S RESIDENCE AND SUBMITTED THE ALTERED APPLICATION TO THE INSURANCE COMPANY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/15/2005
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE MONTH. SUSPENSION WILL COMMENCE DECEMBER 19, 2005 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JANUARY 18, 2006. FINES PAID.
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Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	MONETARY FINE
Date Initiated:	10/06/2005
Docket/Case Number:	2005000537201
Employing firm when activity occurred which led to the regulatory action:	NATIONAL PLANNING CORPORATION
Product Type:	Insurance
Other Product Type(s):	
Allegations:	IN OR ABOUT JULY 2000, MR. HOCK SOLICITED AN APPLICATION BY THE CLIENTS FOR A SECOND-TO-DIE VARIABLE LIFE POLICY. AFTER RECEIVING THE APPLICATION, MR. HOCK BECAME UNCERTAIN WHETHER THE FACT THAT ONE OF THE OWNERS LIVED IN FLORIDA AND WHETHER HE NEEDED TO GET LICENSED IN THAT STATE. HE ALTERED THE APPLICATION TO CHANGE THE ADDRESS OF ONE OF THE OWNERS LISTED FROM FLORIDA TO PENNSYLVANIA.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Resolution Date: 11/15/2005

Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: MR HOCK WILL BE SUSPENDED FOR 30 DAYS, WITH THE START DATE AND END DATE OF THE SUSPENSION YET TO BE DETERMINED. THAT INFORMATION WILL BE UPDATED WHEN RECEIVED. THE MONETARY FINE HAS BEEN AGREED UPON, BUT NO OTHER DETAILS ARE AVAILABLE AT THIS POINT



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WRP INVESTMENTS,INC
Allegations:	CLIENTS ALLEGE THAT HOCK FAILED TO CONVERT THIER HOLDINGS TO CASH SHOULD THE VALUE OF THOSE HOLDINGS DECLINE BY MORE THAN 10%
Product Type:	Mutual Fund
Alleged Damages:	\$167,996.51
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE
Docket/Case #:	09-05238
Filing date of arbitration/CFTC reparation or civil litigation:	09/14/2009

Customer Complaint Information

Date Complaint Received:	09/17/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	09/17/2009
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-05238
Date Notice/Process Served:	09/17/2009
Arbitration Pending?	No



Disposition: Settled
Disposition Date: 05/18/2011
Monetary Compensation Amount: \$15,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORP
Allegations: CUSTOMERS ALLEGE UNSUITABLE VA WAS SOLD
Product Type: Annuity(ies) - Variable
Alleged Damages: \$70,000.00

Customer Complaint Information

Date Complaint Received: 01/02/2004
Complaint Pending? No
Status: Denied
Status Date: 07/23/2004
Settlement Amount:
Individual Contribution Amount:



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: Firm

Firm Name: NATIONAL PLANNING CORPORATION

Termination Type: Permitted to Resign

Termination Date: 11/30/2004

Allegations: CUSTOMERS ALLEGED SALE OF UNSUITABLE VUL. ALLEGATIONS WERE DENIED BY NPC. SUBSEQUENT TO NPC'S DENIAL, A CO-OWNER RAISED AGENT REGISTRATION CONCERNS. COMMUNICATIONS BETWEEN NPC AND THE PRODUCT SPONSOR REVEALED THAT MR. HOCK HAD AMENDED THE VUL APPLICATION WITH RESPECT TO THE OWNER SUBSEQUENT TO THE CLIENT'S EXECUTION OF THE APPLICATION.

Product Type: Other

Other Product Types: VUL

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Reporting Source: Individual

Firm Name: NATIONAL PLANNING CORPORATION

Termination Type: Permitted to Resign

Termination Date: 11/30/2004

Allegations: CUSTOMERS ALLEGE UNSUITABLE VA/VUL WAS SOLD. CUSTOMER ALLEGES REP WAS NOT REGISTERED IN FLORIDA AT THE TIME OF SALE

Product Type: Other

Other Product Types: VUL

Broker Statement NO COMMENT



End of Report

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