



## IAPD Report

# THOMAS KEITH MCNEILL

CRD# 714999

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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 KEITH MCNEILL (CRD# 714999)

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 **11/07/2007**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ASSET MANAGEMENT SERVICES GROUP, INC.	CRD# 40701	11/07/2007

### 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
B	ASSET MANAGEMENT SERVICES GROUP, INC.	40701	MANASQUAN, NJ	08/08/1996 - 06/15/2000
B	POLARIS FINANCIAL SERVICES, INC.	14521	CONCORD, NH	01/13/1995 - 12/05/1995
B	MUTUAL FUND MANAGEMENT CO., INC.	25283	CONCORD, NH	12/14/1989 - 12/20/1994

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

### Employment 1 of 1

Firm Name: **ASSET MANAGEMENT SERVICES GROUP, INC.**  
Main Address: 4 PALM SPRINGS CT  
TOMS RIVER, NJ 08753  
Firm ID#: 40701

Regulator	Registration	Status	Date
<b>IA</b> New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

### Branch Office Locations

**ASSET MANAGEMENT SERVICES GROUP, INC.**  
4 PALM SPRINGS CT  
TOMS RIVER, NJ 08753




## 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, 1 general industry/product exam, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/27/1989

#### General Industry/Product Exams

Exam	Category	Date
 Registered Representative Examination (S1)	Series 1	08/25/1980

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/15/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/1989

### 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	08/08/1996 - 06/15/2000	ASSET MANAGEMENT SERVICES GROUP, INC.	CRD# 40701	MANASQUAN, NJ
B	01/13/1995 - 12/05/1995	POLARIS FINANCIAL SERVICES, INC.	CRD# 14521	CONCORD, NH
B	12/14/1989 - 12/20/1994	MUTUAL FUND MANAGEMENT CO., INC.	CRD# 25283	
B	08/04/1987 - 12/20/1989	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	01/11/1983 - 12/20/1989	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	09/05/1980 - 01/04/1983	CARDELL & ASSOCIATES, INCORPORATED	CRD# 7700	

### 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
03/1996 - Present	ASSET MANAGEMENT SERVICES GROUP, INC.	NOT PROVIDED	Y	MANOSQUAN, NJ, United States
11/1995 - Present	ASSET MANAGEMENT GROUP, INC.	OTHER - CHAIRMAN	N	ALLENWOOD, NJ, United States
03/1978 - Present	SELF EMPLOYED	OTHER - OWNER	N	ALLENWOOD, 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.

No information reported.



## 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
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:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/21/2001

**Docket/Case Number:** C10010062

**Employing firm when activity occurred which led to the regulatory action:** ASSET MANAGEMENT SERVICES GROUP, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** 05-23-01, NASD RULES 2110,2210(C),2210(D), IM-1000-4 - RESPONDENT FAILED TO REGISTER OR REPORT A BRANCH OFFICE ON THE FIRM'S FORM BD;FAILED TO FILE WITH THE NASD SALES LITERATURE CONCERNING REGISTERED INVESTMENT COMPANIES WITHIN 10 DAYS OF FIRST USE OR PUBLICATION BY THE FIRM;AND PERMITTED THE FIRM'S USE OF PUBLIC COMMUNICATIONS WHICH FAILED TO PROVIDE A SOUND BASIS FOR EVALUATING THE FACTS IN REGARD TO ANY PARTICULAR SECURITY OR SECURITIES, INDUSTRY DISCUSSED OR SERVICE OFFERED; AND/OR CONTAINED EXAGGERATED, UNWARRANTED OR MISLEADING STATEMENTS OR CLAIMS.

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/21/2001

**Sanctions Ordered:** Monetary/Fine \$15,000.00  
Suspension

**Other Sanctions Ordered:** REQUALIFICATION

**Sanction Details:** FINED \$15,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, AND ORDERED TO REQUALIFY BY EXAM AS AN IP WITHIN 90 DAYS FROM THE DATE THE AWC IS APPROVED BY THE NASD. IF HE FAILS TO REQUALIFY WITHIN THE 90 DAYS, HE WILL BE SUSPENDED FROM ACTING IN SUCH CAPACITY UNTIL THE EXAM IS SUCCESSFULLY COMPLETED. FINE DUE AND PAYABLE PRIOR TO REASSOCIATION WITH ANY NASD MEMBER FOLLOWING THE SUSPENSION OR PRIOR TO REQUESTING ANY RELIEF FROM ANY STATUTORY DISQUALIFICATION. SUSPENSION EFFECTIVE JUNE 18, 2001 TO CLOSE OF BUSINESS AUGUST 16, 2001.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT\*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/07/1993

**Docket/Case Number:** 1861-S-3/93

**Employing firm when activity occurred which led to the regulatory action:** ALLAIRE FINANCIAL SERVICES, LTD.

**Product Type:**

**Other Product Type(s):**

**Allegations:** ON MARCH 18, 1994, THE DEPARTMENT ISSUED A FINAL ORDER AGAINST THOMAS K. MCNEILL AND ALLAIRE FINANCIAL SERVICES, LTD. THE DEPARTMENT FOUND THAT ALLAIRE FINANCIAL SERVICES, LTD., THROUGH THOMAS MCNEILL OPERATED AN UNREGISTERED INVESTMENT ADVISER AND AN UNREGISTERED BRANCH OFFICE OF AN INVESTMENT ADVISER IN THE STATE OF FLORIDA. AS A RESULT, THE FIRM AND MCNEILL ARE ORDERED TO CEASE AND DESIST FROM ALL VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES AND TO PAY A \$5,000 ADMINISTRATIVE FINE.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 03/18/1994

**Sanctions Ordered:** Cease and Desist/Injunction  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**



<b>Sanction Details:</b>	Not Provided
<b>Regulator Statement</b>	CONTACT: MIKE BLAKER/(904) 488-9805
.....	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF FLORIDA, DEPARTMENT OF BANKING & FINANCE
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/07/1993
<b>Docket/Case Number:</b>	1861-S-3/93
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ALLAIRE FINANCIAL SERVICES, LTD.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	ALLEGED OPERATION OF UN-REGISTERED RIA BRANCH IN FLORIDA.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	03/18/1994
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Monetary/Fine \$5,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	ADMINISTRATIVE FINE OF \$5,000 + CEASE AND DESIST ORDER.
<b>Broker Statement</b>	A REGISTERED REPRESENTATIVE IN THE STATE OF FLORIDA USED OUR CORPORATE NAME WITHOUT AUTHORIZATION. A CLIENT CHECKED WITH THE STATE OF FLORIDA WHICH PROPERTIES THEM TO FILE THE COMPLAINT. I WAS UNAWARE THAT THE INDEPENDENT RR USED OUR CORPORATE NAME TO ADVERTISE AND OPERATE. WHEN VISITED THE RR SHOWED NO EVIDENCE OF USING OUR CORPORATE NAME.



## 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:** Individual  
**Firm Name:** POLARIS FINANCIAL SERVICES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 11/20/1995  
**Allegations:** Not Provided  
SUBJECT OF CUSTOMER COMPLAINT

### Product Type:

### Other Product Types:

### Broker Statement

ALTHOUGH THE ALLEGATIONS OF THE CUSTOMER COMPLAINT WERE NEVER PROVEN, POLARIS FINANCIAL SERVICES TERMINATED ME FROM THEIR FIRM. ALLEGATIONS OF CUSTOMER COMPLAINT WERE NEVER PROVEN, SINCE I FILED PERSONAL BANKRUPTCY WHICH STAYED THE ARBITRATION.



## End of Report

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