

BrokerCheck Report

THOMAS ALLEN MOLL

CRD# 5985686

Report #41720-17657, data current as of Tuesday, November 12, 2013.

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About BrokerCheck®

BrokerCheck offers information on all current-and many former-FINRA-registered securities brokers, and all current and former FINRA-registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.nasaa.org>.

- **Are there other resources I can use to check the background of investment professionals?**

FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

THOMAS A. MOLL

CRD# 5985686

This broker is not currently registered with FINRA.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered with FINRA.

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following FINRA firm(s):

JEFFERIES HIGH YIELD TRADING, LLC

CRD# 47363
STAMFORD, CT
10/2012 - 04/2013

JEFFERIES LLC

CRD# 2347
STAMFORD, CT
11/2011 - 04/2013

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered with FINRA.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	11/02/2011
Research Analyst Exam - Part I Analysis Module	Series 86	02/17/2012
Research Analyst Exam - Part II Regulations Module	Series 87	12/30/2011

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/05/2011

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following FINRA firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/2012 - 04/2013	JEFFERIES HIGH YIELD TRADING, LLC	47363	STAMFORD, CT
11/2011 - 04/2013	JEFFERIES LLC	2347	STAMFORD, CT

Employment History

Below is the broker's employment history for up to the last 10 years.

Please note that the broker is required to provide this information only while registered with FINRA and the information is not updated after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
10/2011 - Present	JEFFERIES & COMPANY, INC.	STAMFORD, CT
06/2011 - 09/2011	UNEMPLOYED	NEW YORK, NY
03/2011 - 05/2011	LAZARD MIDDLE MARKET	NEW YORK, NY
08/2010 - 05/2011	COLUMBIA LAW SCHOOL	NEW YORK, NY
06/2010 - 08/2010	PILLSBURY WINTHROP SHAW PITTMAN	NEW YORK, NY
08/2009 - 05/2010	COLUMBIA LAW SCHOOL	NEW YORK, NY
05/2009 - 07/2009	MOMOO MATSUO AND NAMBA	TOKYO, JAPAN
08/2008 - 05/2009	COLUMBIA LAW SCHOOL	NEW YORK, NY
10/2007 - 07/2008	PETERSON INSTITUTE FOR INTERNATIONAL ECONOMICS	WASHINGTON, DC
09/2006 - 07/2007	LONDON SCHOOL OF ECONOMICS	LONDON, UK
11/2005 - 08/2006	PETERSON INSTITUTE FOR INTERNATIONAL ECONOMICS	WASHINGTON, DC
08/2005 - 10/2005	UNEMPLOYED	FORT SMITH, AR
06/2005 - 07/2005	WOODROW WILSON INTERNATIONAL CENTER FOR SCHC	WASHINGTON, DC
09/2004 - 05/2005	PAUL'S DELI	WILLIAMSBURG, VA
08/2004 - 05/2005	COLLEGE OF WILLIAM AND MARY	WILLIAMSBURG, VA
06/2004 - 08/2004	PRICEWATERHOUSECOOPERS	WASHINGTON, DC
08/2003 - 05/2004	COLLEGE OF WILLIAM AND MARY	WILLIAMSBURG, VA

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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: MAVERICK PAC; INVESTMENT RELATED: NO; START DATE: APRIL 2012; NATURE OF BUSINESS: POLITICAL ACTION COMMITTEE; TITLE: NYC CO-CHAIR; HOURS DEVOTED PER DAY DURING NON-BUSINESS HOURS: IN EXCESS OF ONE; HOURS DEVOTED PER DAY DURING BUSINESS HOURS: NONE

End of Report



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