

## BrokerCheck Report

### KEVIN PATRICK MURPHY

CRD# 1680861

Report #73727-72454, data current as of Monday, January 11, 2016.

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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former 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.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.

**KEVIN P. MURPHY**

CRD# 1680861

This broker is not currently registered.

## 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.**

#### **This broker has passed:**

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

### Registration History

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

#### **TGP SECURITIES, INC.**

CRD# 159008  
SUMMIT, NJ  
07/2012 - 01/2014

#### **CREATION CAPITAL LLC**

CRD# 113912  
SYOSSET, NY  
11/2007 - 10/2011

#### **NORTHEAST SECURITIES, INC.**

CRD# 25996  
MITCHELFIELD, NY  
07/2003 - 03/2006

### 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.



## 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, 1 general industry/product exam, 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	11/18/1989

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/19/2003

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2012 - 01/2014	TGP SECURITIES, INC.	159008	SUMMIT, NJ
11/2007 - 10/2011	CREATION CAPITAL LLC	113912	SYOSSET, NY
07/2003 - 03/2006	NORTHEAST SECURITIES, INC.	25996	MITCHELFIELD, NY
06/1999 - 09/1999	GLEACHER & CO. LLC	47342	NEW YORK, NY
09/1997 - 06/1999	NATWEST FINANCE INC.	26125	NEW YORK, NY
08/1996 - 11/1997	NATWEST SECURITIES CORPORATION	18238	NEW YORK, NY
04/1996 - 05/1996	NOMURA SECURITIES INTERNATIONAL, INC.	4297	NEW YORK, NY
03/1995 - 04/1996	SCHRODER WERTHEIM & CO. INCORPORATED	6112	NEW YORK, NY
07/1992 - 02/1995	LAZARD FRERES & CO.	2528	NEW YORK, NY
12/1989 - 02/1992	CANTOR FITZGERALD FIXED INCOME BROKERS, INC.	13681	NEW YORK, NY
01/1989 - 03/1991	CANTOR FITZGERALD SECURITIES CORP.	19660	NEW YORK, NY
07/1987 - 02/1989	FUNDAMENTAL BROKERS INC.	19837	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 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
03/2012 - Present	TGP SECURITIES, INC.	NEW YORK, NY
07/2007 - 10/2012	TANDEM GLOBAL PARTNERS	NEW YORK, NY
04/2006 - 06/2007	UNEMPLOYED	NEW YORK, NY
04/2003 - 03/2006	NORTHEAST SECURITIES, INC.	MITCHEL FIELD, NY



## Registration and Employment History

### Employment History, continued

Employment Dates	Employer Name	Employer Location
11/1999 - 03/2006	STANFIELD CAPITAL PARTNERS	NEW YORK, NY

### 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.

50% OWNER OF KM HEALTHCARE HOLDINGS, LLC, LOCATED AT 322 W. 57TH STREET, #48H, NEW YORK, NY 10019. KM HEALTHCARE MAKES INVESTMENTS IN PRIVATELY HELD HEALTHCARE COMPANIES. I SPEND 10% OF MY TIME ON THIS ACTIVITY.

## End of Report



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