User Guidance

www.adviserinfo.sec.gov

IAPD Report

JOHN ALAN PELHAM

CRD# 1252189

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

JOHN ALAN PELHAM (CRD# 1252189)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	10/31/2003
IA	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	03/31/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	THE ASCENT GROUP, LLC	314424	Homewood, AL	06/15/2021 - 05/15/2023
IA	AMERITAS ADVISORY SERVICES	14869	LINCOLN, NE	08/13/2021 - 09/09/2021
IA	AMERITAS ADVISORY SERVICES	14869	LINCOLN, NE	09/30/2004 - 08/10/2021

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

Employment 1 of 2

Firm Name: **AMERITAS ADVISORY SERVICES, LLC**
Main Address: 5900 O STREET
LINCOLN, NE 68510
Firm ID#: 317245

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	03/31/2023

Branch Office Locations

AMERITAS ADVISORY SERVICES, LLC
2718 20th St S Ste 100
HOMEWOOD, AL 35209

Employment 2 of 2

Firm Name: **AMERITAS INVESTMENT COMPANY, LLC**
Main Address: 5900 "O" STREET
LINCOLN, NE 68510-2234
Firm ID#: 14869

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	10/31/2003
B	FINRA	General Securities Representative	Approved	10/31/2003
B	FINRA	Municipal Securities Principal	Approved	12/17/2003
B	FINRA	Municipal Securities Representative	Approved	12/17/2003
B	Alabama	Agent	Approved	10/31/2003
B	Florida	Agent	Approved	10/07/2008

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	06/28/2010

Branch Office Locations

AMERITAS ADVISORY SERVICES
2718 20TH ST S STE 100
HOMEWOOD, AL 35209

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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	12/16/2003
B	General Securities Principal Examination (S24)	Series 24	11/12/1998

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/13/1991
B	Direct Participation Programs Representative Examination (S22)	Series 22	05/26/1987
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/20/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/30/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/23/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/15/2021 - 05/15/2023	THE ASCENT GROUP, LLC	CRD# 314424	Homewood, AL
IA	08/13/2021 - 09/09/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	LINCOLN, NE
IA	09/30/2004 - 08/10/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	LINCOLN, NE
IA	10/04/2001 - 09/30/2004	THE ADVISORS GROUP, INC.	CRD# 14035	BIRMINGHAM, AL
B	03/02/1998 - 10/31/2003	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	06/02/1986 - 03/05/1998	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	03/21/1984 - 06/13/1986	FIRST INVESTORS CORPORATION	CRD# 305	

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
08/2023 - Present	Pelham Financial LLC	Owner	Y	Homewood, AL, United States
02/2023 - Present	AMERITAS ADVISORY SERVICES, LLC	IAR	Y	LINCOLN, NE, United States
11/2006 - Present	Pellham Financial Group	Owner/sole Proprietor	Y	Homewood, AL, United States
10/2003 - Present	AMERITAS INVESTMENT CORP.	Registered Rep	Y	LINCOLN, NE, United States
10/2003 - Present	Ameritas Life insurance Corp	Agent	Y	Lincoln, NE, United States
03/1998 - Present	Nowlin and Associates	Agent	Y	Homewood, AL, United States
05/2021 - 02/2023	The Ascent Group	Advisor	Y	Homewood, AL, United States

Registration & Employment History

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.

LICENSED AS AN INDEPENDENT INSURANCE AGENT FOR THE PURPOSE OF SELLING FIXED INSURANCE PRODUCTS; *NOWLIN AND ASSOCIATES; SAME AS BRANCH; INV REL; INSURANCE AGENCY; AGENT; START DATE = 03/1998; HRS/MO = 200; TRADING HRS/MO = 200; HELPING CLIENTS PREPARE FOR RETIREMENT/SALES; *PELHAM FINANCIAL GROUP; SAME AS BRANCH; INV REL; EDUCATIONAL SEMINARS/FIXED ANNYUITY SALES/CFP CURRICULUM INSTRUCTOR; OWNER/PRESENTER; START DATE = 11/2006; HRS/MO = 5; TRADING HRS/MO =2; PRESENT EDUCATIONAL SEMINARS AND MAKE FIXED AND INDEX ANNUITY SALES, ALSO TEACH THE CFP CURRICULUM * Ameritas Life Insurance Company; Start: 1/02/2003; 10 hours per month (10 hours per month during market hours); Homewood, AL; Agent; Insurance Sales * Pelham Financial LLC; inv rel; same as branch; Financial product sales; Owner; start date=08/2023; hrs/mo=0; trading hrs/mo=0; Financial sales

.

End of Report

This page is intentionally left blank.