



## IAPD Report

# TERRY DEAN HOLLAR

CRD# 1584024

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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

### TERRY DEAN HOLLAR (CRD# 1584024)

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 **03/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	08/30/2012
<b>B</b>	REGULUS FINANCIAL GROUP, LLC	CRD# 150631	11/03/2014

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>IA</b>	THRIVENT INVESTMENT MANAGEMENT INC.	18387	HICKORY, NC	02/12/2004 - 08/31/2012
<b>B</b>	THRIVENT INVESTMENT MANAGEMENT INC.	18387	HICKORY, NC	06/09/1987 - 08/31/2012

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

#### Employment 1 of 2

Firm Name: **REGAL INVESTMENT ADVISORS LLC**  
Main Address: 2687 44TH STREET SE  
KENTWOOD, MI 49512  
Firm ID#: 125004

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	08/30/2012
IA Texas	Investment Adviser Representative	Restricted Approval	01/05/2021

#### Branch Office Locations

**REGAL INVESTMENT ADVISORS LLC**  
3307 SPRINGS RD NE  
HICKORY, NC 28601

#### Employment 2 of 2

Firm Name: **REGULUS FINANCIAL GROUP, LLC**  
Main Address: 2687 44TH STREET, SE, SUITE 101  
KENTWOOD, MI 49512  
Firm ID#: 150631

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/03/2014
B FINRA	Invest. Co and Variable Contracts	Approved	11/03/2014
B Colorado	Agent	Approved	06/02/2015
B North Carolina	Agent	Approved	05/13/2015
B South Carolina	Agent	Approved	05/14/2015



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Tennessee	Agent	Approved	05/22/2015
<b>B</b> Texas	Agent	Approved	10/05/2018
<b>B</b> Virginia	Agent	Approved	09/08/2016

### Branch Office Locations

3307 Springs Rd. NE  
Hickory, NC 28601



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.




#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/03/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/13/1986

#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	10/29/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/15/1987

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

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	02/12/2004 - 08/31/2012	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	HICKORY, NC
B	06/09/1987 - 08/31/2012	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	HICKORY, NC

### 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
08/2014 - Present	Regulus, LLC	Registered Representative	Y	Kentwood, MI, United States
08/2012 - Present	REGAL INVESTMENT ADVISORS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	KENTWOOD, MI, 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)ON THE ADVICE OF MY CPA I SET UP THE CORPORATION HIRA, INC DBA INSURANCE RESOURCES OF AMERICA. THIS CORPORATION IS NOW TJH ENTERPRISES, INC. I AM AN OFFICER OF THIS CORPORATION. I RUN MY PAYROLL AND BUSINESS EXPENSES THROUGH THE CORPORATION WHICH IS LOCATED AT 3307 SPRINGS RD. NE, HICKORY, NC 28601. I DEVOTE NO TIME TO THIS CORPORATION OTHER THAN SIGNING CHECKS TO COVER EXPENSES AND NO TIME IS SPENT DURING SECURITIES TRADING HOURS. THERE ARE NO INVESTORS IN THE CORPORATION. I RECEIVE \$100 A WEEK FROM TJH ENTERPRISES, INC.

2)BRIGHTSTAR PROPERTIES, LLC, HOLDS SOME OF MY VACATION PROPERTIES. I HAVE RENTAL PROPERTIES IN NORTH CAROLINA INCLUDED IN BRIGHTSTAR PROPERTIES, LLC. THESE PROPERTIES DO PRODUCE INCOME. THESE PROPERTIES ARE NEVER RENTED TO CLIENTS. I HAVE RENTAL PROPERTIES IN NORTH CAROLINA THAT ARE NOT IN AN LLC. THESE PROPERTIES DO PRODUCE RENTAL INCOME. THESE PROPERTIES ARE NEVER RENTED TO CLIENTS. I HAVE A RENTAL COMPANY IN NORTH CAROLINA WHICH MANAGES MY PROPERTIES IN NORTH CAROLINA. NO HOURS SPENT DURING SECURITIES TRADING HOURS.

3)I AM AN INDEPENDENT INSURANCE AGENT, TERRY D. HOLLAR, SALES AND MARKETING OF INSURANCE PRODUCTS. I AM REGISTERED WITH VARIOUS INSURANCE COMPANIES. APPROXIMATELY 240 HOURS DEVOTED TO THE BUSINESS PER MONTH.

4)I ALSO OWN RENTAL PROPERTIES IN NORTH CAROLINA AND I HAVE A FIRM, MILLER PROPERTIES, MANAGE THEM.

5)Owner and president of Grandview Homeowners Association. 525 12th st SW Hickory NC 28602. 828-256-3200. Real Estate Agent. Hours per month: 2 Hours during trading hours: 0. I am the owner of 24 condos which make up a 30 unit condo complex. I



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

rent the 24 units out a apartments. I have been elected president of the association. No compensation for being the president. I do receive monies from the rental of the condos.This is not investment related.

6) JT Energy is an S Corporation which I am owner and Jim Fischer is my partner. I am treasurer of this coporation. We lease property in Kentucky to drill for oil. WE each invested approximately \$85,000. We did not purchase the land, we were granted lease rights on the land. There was no purchase so there was no literature provided to myself or Jim. There is no sell of securities and zero hours are spent on this corporation during securities trading hours. We are starting to get some oil and natural gas production and do expect revenue. There have been no shares sold.

7) St. Stephens Lutheran Day School. 2304 Springs Rd NE, Hickory, NC 28601. School for children. Not investment related. 8 hours per month, 0 during trading hours. Start: 7/1/2019. Officer/Director. No compensation. Oversees committee that does rules and regulations for the day school.

8) St. Stephens Lutheran Missouri Synod. 2304 Springs Rd NE, Hickory, NC 28601. Church. Investment related. 60 hours per month, 0 during trading hours. Start: 9/1/2020. President. No compensation. Oversees the committees of the church and works closely with the Pastor and Vicar on church rules and regulations. Keeps note of items to bring up and ongoing projects for the church. Assists with managing and directing assets for the church.



## 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	1
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 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF FLORIDA
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/11/2008
<b>Docket/Case Number:</b>	93617-07-AG
<b>Employing firm when activity occurred which led to the regulatory action:</b>	THRIVENT FINANCIAL FOR LUTHERANS
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	RR HOLLAR AGREED TO THE ENTRY OF A CONSENT ORDER AND \$1,000 ADMINISTRATIVE FINE IMPOSED BY THE STATE OF FLORIDA RESULTING FROM HIS INADVERTENTLY FAILING TO TIMELY SUBMIT AN ON-LINE INFORMATIONAL REQUEST FORM CONCERNING HIS REQUEST FOR A FLORIDA INSURANCE AGENCY LICENSE. RR HOLLAR SUBSEQUENTLY SUBMITTED THE REQUEST FORM AND HIS INSURANCE AGENCY LICENSE WAS APPROVED. AT ALL RELEVANT TIMES RR HOLLAR WAS PROPERLY INDIVIDUALLY LICENSED TO CONDUCT INSURANCE BUSINESS IN FLORIDA.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent



<b>Resolution Date:</b>	01/11/2008
<b>Sanctions Ordered:</b>	Monetary/Fine \$1,000.00
<b>Other Sanctions Ordered:</b>	N/A
<b>Sanction Details:</b>	ADMINISTRATIVE PENALTY OF \$1000. CHECK FOR TOTAL AMOUNT WAS MAILED TO STATE 01/18/2008. NO PORTION OF PENALTY WAS WAIVED.



## 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:** THRIVENT INVESTMENT MANAGEMENT, INC.

**Allegations:** MEMBER ALLEGES THAT HER SIGNATURE WAS FORGED ON SEVERAL DOCUMENTS, AND THAT SHE WAS ADVISED TO SIGN BLANK FORMS THAT WERE LATER COMPLETED WITH FALSE INFORMATION. NO EVIDENCE OF WRONGDOING FOUND.

**Product Type:** Insurance

**Other Product Type(s):** BROKERAGE INVESTMENTS

**Alleged Damages:** \$3,591.80

### Customer Complaint Information

**Date Complaint Received:** 11/28/2005

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 05/02/2006

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** THRIVENT INVESTMENT MANAGEMENT

**Allegations:** CUSTOMERS FAMILY ALLEGES THAT THE REGISTERED REPRESENTATIVE'S RECOMMENDATIONS WERE UNSUITABLE FOR THEIR MOTHER. THE FAMILY ALSO ALLEGES THAT THE REPRESENTATIVE ACTED INAPPROPRIATELY WHILE SETTLING THE DEATH CLAIM FOR THEIR MOTHER. RESEARCH REVEALED INVESTMENTS WERE SUITABLE AND REPRESENTATIVE HAD BENEFICIARIES BEST INTEREST IN MIND WHILE ASSISTING IN SETTLING THE DEATH CLAIM.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$21,801.79

### Customer Complaint Information

**Date Complaint Received:** 11/10/2005



<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	06/30/2006
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	



## 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:** THRIVENT INVESTMENT MANAGEMENT INC

**Termination Type:** Discharged

**Termination Date:** 08/23/2012

**Allegations:** DURING AN INTERNAL INVESTIGATION RR ADMITTED THAT HE DEPOSITED CASH IN AMOUNTS LESS THAN \$10K INTO HIS BANK ACCOUNTS TO AVOID CTR REPORTING AND THE FIRM DETERMINED THAT HE AND ANOTHER RR UNDER HIS DIRECTION ENGAGED IN A PRACTICE WHEREBY SIGNED UNDATED LOAS WERE OBTAINED FROM MULTIPLE CUSTOMERS AND RE-DATED BY COPYING OR OTHER MEANS AND SUBMITTED TO TIMI TO AFFECT CUSTOMER TRANSACTIONS IN OVER 100 SEPARATE INSTANCES.

**Product Type:** No Product

**Firm Statement** IN REFERENCE TO MR. HOLLAR'S 8/30/12 U4 FILING REGARDING HIS TERMINATION, AT THAT TIME THE FIRM PROVIDED HIM WITH THE SPECIFIC REASONS AND CERTAIN SUPPORTING DOCUMENTATION REGARDING HIS TERMINATION AS REFLECTED ON HIS U5.

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**Reporting Source:** Individual

**Firm Name:** THRIVENT FINANCIAL FOR LUTHERANS AND THRIVENT INVESTMENTMGMT

**Termination Type:** Discharged

**Termination Date:** 08/23/2012

**Allegations:** VERBALLY TERMINATED FOR ALLEGED VIOLATION OF UNSPECIFIED FIRM POLICIES

**Product Type:** No Product

**Broker Statement** THRIVENT CAME INTO MY OFFICE, TERMINATED ME, TOOK MY FILES. THEY DID NOT PROVIDE A LETTER OF TERMINATION, AND CUT ME OFF FROM ALL ACCESS TO SYSTEMS. THEY HAVE NOT PROCESSED MY U5 AS OF THIS DATE. THRIVENT ALLEGED VIOLATION OF FIRM POLICIES AS THE REASON FOR THE TERMINATION BUT HAVE PROVIDED NO SPECIFICS, DOCUMENTATION, OR SUPPORT OF THIS, AT THIS TIME.



## End of Report

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