



IAPD Report

THOMAS ANTHONY SHANKLAND

CRD# 1779390

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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 ANTHONY SHANKLAND (CRD# 1779390)

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 **11/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HARVEST INVESTMENT SERVICES, LLC	CRD# 159390	01/08/2014

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	INVESTMENT ADVISORS	15708	SHOREWOOD, IL	11/09/1999 - 07/06/2017
B	PROEQUITIES, INC.	15708	SHOREWOOD, IL	07/16/1997 - 07/06/2017
B	MARINER FINANCIAL SERVICES, INC.	8292	LARGO, FL	02/20/1990 - 07/16/1997

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



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

Employment 1 of 1

Firm Name: **HARVEST INVESTMENT SERVICES, LLC**
Main Address: 1 TRANSAM PLAZA DRIVE
SUITE 230
OAKBROOK TERRACE, IL 60181-4285
Firm ID#: 159390

	Regulator	Registration	Status	Date
	Indiana	Investment Adviser Representative	Approved	08/31/2022
	Texas	Investment Adviser Representative	Restricted Approval	05/11/2023

Branch Office Locations

HARVEST INVESTMENT SERVICES, LLC
1 TRANSAM PLAZA DRIVE
SUITE 230
OAKBROOK TERRACE, IL 60181-4285



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

	Securities Industry Essentials Examination (SIE)	SIE	07/06/2017
	General Securities Representative Examination (S7)	Series 7	05/24/1993
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/22/1987

State Securities Law Exams

Exam	Category	Date
------	----------	------

	Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/1994
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/25/1991

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	11/09/1999 - 07/06/2017	INVESTMENT ADVISORS	CRD# 15708	SHOREWOOD, IL
B	07/16/1997 - 07/06/2017	PROEQUITIES, INC.	CRD# 15708	SHOREWOOD, IL
B	02/20/1990 - 07/16/1997	MARINER FINANCIAL SERVICES, INC.	CRD# 8292	LARGO, FL
B	05/26/1989 - 02/20/1990	LEADERTECH SECURITIES, INC.	CRD# 13052	
B	12/24/1987 - 05/15/1989	NWNL MANAGEMENT CORPORATION	CRD# 2882	WINDSOR, CT

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
03/2014 - Present	HARVEST INVESTMENT SERVICES	INVESTMENT ADVISOR	Y	SHOREWOOD, IL, United States
09/1995 - Present	TMG LIFE	OTHER - LIFE INS AGENT	N	WEST DES MOINES, IA, United States
02/1987 - Present	AMERICAN LIFE AND CASUALTY INS. CO.	AGENT - AGENT	N	FARGO, ND, United States
01/1987 - Present	NATIONAL HERITAGE LIFE INS. CO.	AGENT - AGENT	N	MAITLAND, FL, United States
12/1984 - Present	AMERICAN INVESTORS LIFE INS. CO.	AGENT - AGENT	N	TOPEKA, KS, United States
12/1983 - Present	FIRST PENN-PACIFIC INS. CO.	AGENT - AGENT	N	OAK BROOK, IL, United States
08/1983 - Present	GUARANTEE SECURITY LIFE INS. CO.	AGENT - AGENT	N	JACKSONVILLE, FL, United States
10/1981 - Present	CONTINENTAL WESTERN LIFE INS. CO.	AGENT - AGENT	N	WEST DES MOINES, IA, United States
10/1981 - Present	SHANKLAND AND ASSOCIATES	OTHER - OWNER-AGENT	N	JOLIET, IL, United States
07/1997 - 06/2017	PROEQUITIES, INC.	REGISTERED REP	Y	NAPERVILLE, IL, 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.

DBA AND INSURANCE: SHANKLAND FINANCIAL SERVICES; INVESTMENT RELATED; 622 VERSAILLES DR, VALPARAISO, IN 46383-6801; ESTATE AND FINANCIAL PLANNING FIRM; OWNER; CERTIFIED ESTATE PLANNER; CHARTERED FINANCIAL CONSULTANT; FINANCIAL PLANNING, FIXED INSURANCE SALES; STARTED 07/1997; 200 HRS/MO.

THOMAS SHANKLAND; NOT INVESTMENT RELATED; 622 VERSAILLES DR, VALPARAISO, IN 46383-6801; OWNER; PURCHASE, RENT AND SELL PROPERTIES FOR MY OWN BUSINESS AND INVESTMENT PURPOSES; START-04/2002; 20-30 HRS/MO.

EQUITY INDEXED ANNUITIES WITH EQUITRUST, AMERUS, OM FINANCIAL, SAGICOR LIFE, MIDLAND NATIONAL, NORTH AMERICAN; NOT INVESTMENT RELATED; EST. 10-15 HRS/MO.

SHANKLAND FINANCIAL SERVICES

POSITION: OWNER NATURE: CONSULTING AND SALES INVESTMENT RELATED: NO NUMBER OF HOURS: 20

INVESTMENT RELATED HOURS: 20 START DATE: 10/01/1985

ADDRESS: 622 VERSAILLES DR, VALPARAISO, IN 46383-6801; DESCRIPTION: MEET WITH CLIENTS AND PROSPECTIVE CLIENTS TO REVIEW FINANCIAL GOALS, PLAN, RECOMMEND AND IMPLEMENT TOOLS TO REACH THEIR FINANCIAL GOALS

HARVEST INVESTMENT SERVICES

POSITION: INVESTMENT ADVISOR NATURE: INVESTMENT ADVICE INVESTMENT RELATED: YES NUMBER OF HOURS: 1

INVESTMENT RELATED HOURS: 1 START DATE: 03/30/2014

ADDRESS: 622 VERSAILLES DR, VALPARAISO, IN 46383-6801;

DESCRIPTION: TO MEET WITH NEW AND PROSPECTIVE CLIENTS AND PROVIDE INVESTMENT ADVICE, RECOMMENDATIONS AND SERVICES



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

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:	Individual
Regulatory Action Initiated By:	ILLINOIS DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/04/1994
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	MARINER FINANCIAL SERVICES, INC.
Product Type:	Insurance
Allegations:	THE ILLINOIS DEPT OF INSURANCE ALLEDGED THAT: 1) ON 3/11/91 THE LICENSEE MARKED A 'NO' RESPONSE TO THE REPLACEMENT QUESTION ON A PROPOSED INSURED'S INDIVIDUAL ASSURANCE LIFE INSURANCE APPLICATION EVEN THOUGH HE KNEW THAT THE POLICY WAS TO REPLACE A CONTINENTAL WESTERN LIFE INSURANCE POLICY THAT HE HAD WRITTEN ON THE CLIENT PREVIOUSLY; 2) THAT ON 5/13/93 THAT THE LICENSEE MARKED A 'NO' RESPONSE TO THE REPLACEMENT QUESTION ON A SURETY LIFE INSURANCE APPLICATION (ON THE SAME CLIENT AS PRIOR) EVEN THOUGH THE NEW POLICY WOULD BE REPLACING THE INDIVIDUAL ASSURANCE COMPANY LIFE POLICY THAT HE HAD WRITTEN PREVIOUSLY; AND THAT 3) BY THE ABOVE ACTION(S), THE LICENSEE FAILED TO PRESENT TO THE APPLICANT, AT THE TIME OF TAKING EACH RESPECTIVE APPLICATION, A "NOTICE REGARDING REPLACEMENT OF LIFE INSURANCE" WHICH WAS IN VIOLATION OF 50 ILL ADM CODE 917. 60(B)(1) AND THAT THE LICENSEE FAILED TO SUBMIT A "NOTICE REGARDING REPLACEMENT OF LIFE INSURANCE" TO THE REPLACING INSURER(S) WITH EACH APPLICATION AS REQUIRED BY 50 ILL ADM CODE



	917.60 (B)(2).
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/04/1994
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: LICENSEE SHALL 1) CORRECTLY ANSWER THE REPLACEMENT QUESTION ON ALL INSURANCE APPLICATIONS WHEN REPLACEMENT IS INVOLVED, AS DEFINED BY 50 ILL ADM CODE 917.30; 2) WHEN NECESSARY, COMPLETE AND SUBMIT REPLACEMENT FORMS TO THE REPLACING COMPANY AND APPLICANT PURSUANT TO 50 ILL ADM CODE 917.60 AND 3) PAY A CIVIL FORFEITURE IN THE AMOUNT OF \$750.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$750.00
Portion Levied against individual:	\$750.00
Payment Plan:	ONE TIME PAYMENT
Is Payment Plan Current:	Yes
Date Paid by individual:	10/17/1994
Was any portion of penalty waived?	No
Amount Waived:	
Disclosure 2 of 2	
Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF WISCONSIN - OFFICE OF THE COMMISSIONER OF INSURANCE - INSURANCE LICENSING SECTION
Sanction(s) Sought:	Denial
Date Initiated:	05/16/1996
Docket/Case Number:	96-C24677
Employing firm when activity occurred which led to the regulatory action:	MARINER FINANCIAL SERVICES INC.
Product Type:	No Product
Allegations:	STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE - INSURANCE LICENSING SECTION: ON 5/16/96 ALLEDGED LICENSEE HAD FAILED TO DISCLOSE ADMINISTRATIVE ACTIONS ON AN INSURANCE LICENSING APPLICATION DATED 4/22/96.



Current Status:	Final
Resolution:	LICENSE ISSUANCE/APPROVAL WAS DENIED FOR 30 DAYS ON 05/16/96; LICENSE WAS ISSUED 6/15/96
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/15/1996
Sanctions Ordered:	Denial
Broker Statement	LICENSE ISSUANCE/APPROVAL WAS DENIED FOR 30 DAYS ON 05-16-1996; AN INSURANCE LICENSE WAS ISSUED ON 6/15/96 AND IS STILL ACTIVE AS OF TODAY.



End of Report

This page is intentionally left blank.