



IAPD Report

THOMAS A PACKER

CRD# 1805351

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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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

THOMAS A PACKER (CRD# 1805351)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WEDBUSH SECURITIES INC.	CRD# 877	04/20/1988
IA	WEDBUSH SECURITIES INC.	CRD# 877	08/21/2008

QUALIFICATIONS

This representative is currently registered in **19** SRO(s) and **22** 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
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No information reported.

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
Criminal	1
Customer Dispute	4



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 **22** jurisdiction(s) and 19 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEDBUSH SECURITIES INC.**
Main Address: ATTN: COMPLIANCE DEPT.
225 S. LAKE AVE PENTHOUSE
PASADENA, CA 91101
Firm ID#: 877

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	08/22/2013
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B FINRA	General Securities Representative	Approved	04/20/1988
B FINRA	General Securities Sales Supervisor	Approved	01/22/1992
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	08/22/2013
B NYSE American LLC	General Securities Representative	Approved	08/22/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	08/22/2013



Qualifications

Regulator	Registration	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	08/22/2013
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/22/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/22/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/22/2013
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B Nasdaq Texas, LLC	General Securities Representative	Approved	08/22/2013
B New York Stock Exchange	General Securities Representative	Approved	04/20/1988
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alaska	Agent	Approved	05/13/1988
IA Alaska	Investment Adviser Representative	Approved	08/21/2008
B Arizona	Agent	Approved	10/13/1993
B California	Agent	Approved	04/20/1988
B Colorado	Agent	Approved	04/09/1996
B Florida	Agent	Approved	03/17/1998
B Idaho	Agent	Approved	01/27/1998
B Iowa	Agent	Approved	10/18/2017
B Michigan	Agent	Approved	09/26/2000
B Minnesota	Agent	Approved	09/05/2005



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	08/28/2024
B Montana	Agent	Approved	03/13/2008
B Nevada	Agent	Approved	01/05/1994
B New Mexico	Agent	Approved	08/08/2023
B New York	Agent	Approved	01/11/1995
B Ohio	Agent	Approved	03/11/1996
B Oregon	Agent	Approved	10/17/1995
B Puerto Rico	Agent	Approved	01/22/2026
B Texas	Agent	Approved	10/25/1995
B Utah	Agent	Approved	08/21/2006
B Virginia	Agent	Approved	07/08/2000
B Washington	Agent	Approved	11/06/1989
B Wyoming	Agent	Approved	11/20/2002

Branch Office Locations

WEDBUSH SECURITIES INC.
101 W. BENSON
SUITE 500
ANCHORAGE, AK 99503



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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/22/1991

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/16/1988

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

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
02/1988 - Present	WEDBUSH MORGAN SECURITIES INC.	NOT PROVIDED	Y	ANCHORAGE, AK, 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.

No information reported.



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
Criminal	1
Customer Dispute	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	ANCHORAGE THIRD DISTRICT
Location of Court:	ANCHORAGE, ALASKA
Docket/Case #:	3AN-10-10605CR
Charge Date:	09/18/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CHARGED FOR CRIMINAL MISCHIEF
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	DISMISSED BY PROSECUTION
Disposition of charge:	Dismissed
Current Status:	Final



Status Date: 11/24/2010

Disposition Date: 11/24/2010

Sentence/Penalty: DISMISSED

Broker Statement

THE CASE INVOLVED THE MARKING AND REMOVAL OF COTTONWOOD TREES (THE MOST INVASIVE AND OBNOXIOUS SPECIES IN ANCHORAGE) BEHIND MY NEIGHBORHOODS HOMES ALONG THE CREEK IN EAST ANCHORAGE.

IN 2003 MY NEIGHBORS AND I WERE GRANTED A PERMIT TO REMOVE 122 TREES IN THIS AREA. THIS WAS DONE AND 2 YEARS LATER WE APPLIED FOR ANOTHER PERMIT TO REMOVE 10 MORE TREES. THE REQUEST WAS DENIED, SO, MY NEIGHBORS AND I DECIDED TO TAKE DOWN 9 MORE TREES ON OUR OWN.

I DID THE WORK AND SOMEONE ON THE OTHER SIDE OF THE CREEK REPORTED THE ACTION TO THE STATE. THE STATE CHARGED ME WITH A C CLASS FELONY. THE CHARGE WAS LATER DISMISSED. NOT ONLY IT WAS DISMISSED BUT SEVERAL PEOPLE AT THE COURT HOUSE STATED THAT THEY SHOULD HAVE GIVEN ME A MEDAL. THEY ENCOURAGED ME TO HAVE PEOPLE WRITE LETTERS TO THE EDITOR SAYING HOW RIDICULOUS THE ENTIRE SITUATION WAS AND A GREAT WASTE OF THE TAX PAYER TIME AND MONEY.



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WEDBUSH SECURITIES
Allegations:	THROUGH HER ATTORNEY, CLIENT CLAIMS RECOMMENDED INVESTMENT WERE UNSUITABLE. IN ADDITION, THE INVESTMENT SHOULD HAVE BEEN LIQUIDATED WHEN ITS VALUATION INCREASED SIGNIFICANTLY.
Product Type:	Equity-OTC
Alleged Damages:	\$7,203.30
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT IS THE TOTAL OF CLAIMED LOSS OF \$5541.00 PLUS INTEREST OF \$1662.30.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/23/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2012
Settlement Amount:	\$4,990.00
Individual Contribution Amount:	\$4,990.00

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WEDBUSH SECURITIES
Allegations:	THROUGH HIS ATTORNEY, CLIENT CLAIMS UNSUITABLE RECOMMENDATIONS IN LOW-PRICED SECURITIES AND FAILURE TO FOLLOW INSTRUCTIONS WHEN THE CLIENT REQUESTED TO SELL THESE SECURITIES.
Product Type:	Equity-OTC
Alleged Damages:	\$1,465,315.00



Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/23/2011

Complaint Pending? No

Status: Settled

Status Date: 03/05/2012

Settlement Amount: \$250,000.00

Individual Contribution
Amount: \$237,500.00

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: WEDBUSH MORGAN SECURITIES

Allegations: CLIENT ALLEGED UNSUITABLE RECOMMENDATIONS OF STOCKS IN
DECEMBER 2005.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$12,112.00

Alleged Damages Amount
Explanation (if amount not
exact): NO DAMAGE AMOUNT IS ALLEGED BY CLIENT. FIRM MADE A
DETERMINATION THAT THE ALLEGED COMPENSATORY DAMAGE AMOUNT
IS 12,112.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/16/2008

Complaint Pending? No

Status: Denied

Status Date: 10/29/2008

Settlement Amount:

Individual Contribution
Amount:

Disclosure 4 of 4

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: WEDBUSH MORGAN SECURITIES

Allegations: CLAIMANT ALLEGES UNSTUIABLE INVESTMENT STRATEGY; UNAUTHORIZED TRADING; INADEQUATE COMMUNICATION ON COMMISSIONS, FEES AND MARGIN; UNTRUE OR OMISSION OF MATERIAL FACT; LACK OF DISCLOSURE ON CREDIT TERMS; BREACH OF FIDUCIARY DUTY; AND PROFESSIONAL NEGLIGENCE

Product Type: Equity-OTC
Mutual Fund

Alleged Damages: \$147,500.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [09-02143](#)

Date Notice/Process Served: 09/25/2009

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/25/2011

Monetary Compensation Amount: \$228,963.97

Individual Contribution Amount: \$175,000.00



End of Report

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