



IAPD Report

THOMAS OHEARN EIFLER JR

CRD# 1817915

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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 OHEARN EIFLER JR (CRD# 1817915)

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 **07/25/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTHTRUST ASSET MANAGEMENT, LLC	CRD# 174901	06/28/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	PEAK AMERICAN INVESTMENT ADVISORS, INC.	145056	PLANO, TX	01/13/2020 - 05/07/2020
IA	VALIANT WEALTH MANAGEMENT	288262	PLANO, TX	10/23/2017 - 12/31/2018
IA	IC ADVISORY SERVICES, INC.	140190	BEDMINSTER, NJ	06/02/2006 - 12/31/2016

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
Customer Dispute	1
Termination	2
Bond	1
Judgment/Lien	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEALTHTRUST ASSET MANAGEMENT, LLC**

Main Address: 4458 LEGENDARY DR.
SUITE 140
DESTIN, FL 32541

Firm ID#: 174901

	Regulator	Registration	Status	Date
	Texas	Investment Adviser Representative	Approved	06/28/2018

Branch Office Locations

WEALTHTRUST ASSET MANAGEMENT, LLC

101 E Park Blvd
Suite 1100
Plano, TX 75074



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, 2 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
B Securities Industry Essentials Examination (SIE)	SIE	12/31/2016
B General Securities Representative Examination (S7)	Series 7	04/16/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/11/1992
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/09/1988



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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/13/2020 - 05/07/2020	PEAK AMERICAN INVESTMENT ADVISORS, INC.	CRD# 145056	PLANO, TX
IA	10/23/2017 - 12/31/2018	VALIANT WEALTH MANAGEMENT	CRD# 288262	PLANO, TX
IA	06/02/2006 - 12/31/2016	IC ADVISORY SERVICES, INC.	CRD# 140190	BEDMINSTER, NJ
B	10/26/1999 - 12/31/2016	THE INVESTMENT CENTER, INC.	CRD# 17839	PLANO, TX
IA	01/08/2001 - 06/02/2006	THE INVESTMENT CENTER, INC.	CRD# 17839	PLANO, TX
B	10/02/1990 - 11/02/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/03/1989 - 09/25/1990	PNC SECURITIES CORP	CRD# 15647	PITTSBURGH, PA
B	04/20/1988 - 01/03/1989	CITIZENS FIDELITY CAPITAL MARKETS, INC.	CRD# 17625	

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
11/2019 - Present	PTF Investment Advisors, Inc	Investment Adviser Representative	Y	PLANO, TX, United States
11/2019 - Present	Peak Trust Financial Group Inc.	Insurance Agent	Y	PLANO, TX, United States
08/2019 - Present	Canyon Creek Capital LLC	DBA	Y	Plano, TX, United States
06/2018 - Present	TAMP ADVISORY SOLUTIONS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	DESTIN, FL, United States
09/2010 - Present	Advisors Excel	Insurance Agent	Y	Topeka, KS, United States
04/2019 - 08/2019	Valiant Wealth Management, LLC	Advisor (DBA)	Y	PLANO, TX, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2017 - 04/2019	VALIANT WEALTH MANAGEMENT	PRESIDENT	Y	PLANO, TX, United States
10/2017 - 12/2018	VALIANT WEALTH MANAGEMENT	INVESTMENT ADVISOR REP	Y	PLANO, TX, United States
10/2017 - 12/2017	UBER	DRIVER	N	PLANO, TX, United States
09/2013 - 02/2017	EIFLER GROUP LONE STAR	PRESIDENT	N	PLANO, TX, United States
06/2006 - 12/2016	IC ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	PLANO, TX, United States
10/1999 - 12/2016	THE INVESTMENT CENTER, INC.	REGISTERED REPRESENTATIVE	Y	PLANO, TX, 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.

06/2018 - PRESENT-TAMP ADVISORY SOLUTIONS, LLC- INVESTMENT ADVISOR REPRESENTATIVE. 08/2019 - Canyon Creek Capital, LLC, licensed Insurance Agency with State of Texas, Mr. Eifler does not hold direct membership in this LLC entity but is a licensed insurance agent under this Agency. Mr. Eifler operates under the name of Canyon Creek Capital as an IAR of TAMP Advisory Solutions, LLC. Canyon Creek Capital is also used for Insurance related business. 09/2010 -Advisors Excel, Topeka, KS - Position: Insurance Agent. 11/2019 -Peak Trust Financial Group Inc. 2800 North Dallas Pkwy, Plano, TX 75093 Position: Insurance Agent. 20 hours a month on all insurance related business, receives compensation. 11/2019 - PTF Investment Advisors, Inc, 2800 North Dallas Pkwy, Plano, TX 75093 Investment Adviser Representative, 20 hours a month, receives compensation, investment related.



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
Customer Dispute	1
Termination	2
Bond	1
Judgment/Lien	1

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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TAMP ADVISORY SOLUTIONS, LLC

Allegations: On October 18, 2019, the Firm received a written customer complaint concerning Mr. Eifler's servicing of two discretionary advisory accounts that were charged "wrap account" fees, as well as the purchase of certain insurance products outside of the Firm. The complaint alleges that the purchases of a fixed annuity and a life insurance product, through an insurance company not affiliated with the Firm, were unauthorized. Finally, the complaint alleges unspecified gross losses of more than \$494,000 and demands \$60,000 in reimbursement.

Product Type: Annuity-Fixed
Equity Listed (Common & Preferred Stock)
Insurance
Mutual Fund
Other: ETF

Alleged Damages: \$494,000.00

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: 10/18/2019

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

This complaint has been investigated by two regulatory bodies in Texas: Texas Department of Insurance (TDI) and Texas State Securities Board. On May 14th, 2020 the TDI deemed this complaint invalid and closed the complaint pending new information. On December 27th, 2019, the Texas State Securities Board began the investigation and has yet to formally close this complaint despite it has lasted over two years. Even though this complaint is still active on my U4, I sincerely believe it is without merit.



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 2

Reporting Source: Firm

Firm Name: IC Advisory Services, Inc.

Termination Type: Permitted to Resign

Termination Date: 12/27/2016

Allegations: Fraud and breach of contract in a state court action filed by an alleged business partner's claims for 50% ownership of a company (owned by the representative) and for compensation and expenses of work allegedly performed.

Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm

Firm Name: The Investment Center, Inc.

Termination Type: Permitted to Resign

Termination Date: 12/27/2016

Allegations: Fraud and breach of contract in a state court action filed by an alleged business partner's claims for 50% ownership of a company (owned by representative) and for compensation and expenses for work allegedly performed.

Product Type: No Product

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Reporting Source: Individual

Firm Name: The Investment Center

Termination Type: Permitted to Resign

Termination Date: 12/31/2016

Allegations: Non-Investment business related fraud and breach of contract in a state court action filed by an alleged business partner's claims for 50% ownership of a company (owned by the representative) and for compensation and expenses of work allegedly performed

Product Type: No Product

Broker Statement Due to fraud claim, Lost Fidelity Bond from AIG and was obligated to resign.



Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	The Investment Center, Inc.
Bonding Company Name:	AIG
Disposition:	Revoked
Disposition Date:	12/31/2016
Broker Statement	Because of the fraud claim AIG was not willing to take on the risk so I lost my Fidelity Bond. I had to resign from The Investment Center because I was not able to attain the necessary insurance to stay in business.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	WILSON & MUIR BANK & TRUST COMPANY
Judgment/Lien Amount:	\$1,701,793.66
Judgment/Lien Type:	Civil
Date Filed:	07/01/2013
Type of Court:	Federal Court
Name of Court:	UNITED STATES BANKRUPTCY COURT
Location of Court:	WESTERN DISTRICT OF KENTUCKY
Docket/Case #:	11-36154
Judgment/Lien Outstanding?	Yes



End of Report

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