IAPD Report

THOMAS HARRY ALBERS

CRD# 2325

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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 HARRY ALBERS (CRD# 2325)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	06/30/2006
IA	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	11/01/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	AMERITAS ADVISORY SERVICES	14869	WHITE BEAR LAKE, MN	06/30/2006 - 11/01/2021
IA	CARILLON INVESTMENTS, INC	14646	CINCINNATI, OH	09/09/2003 - 06/30/2006
B	CARILLON INVESTMENTS, INC.	14646	CINCINNATI, OH	08/08/2000 - 06/30/2006

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
Financial	1
Judgment/Lien	3

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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 **10** 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	Ohio	Investment Adviser Representative	Approved	11/01/2021

Branch Office Locations

AMERITAS ADVISORY SERVICES, LLC
Massillon, OH

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	06/30/2006
B	FINRA	General Securities Representative	Approved	06/30/2006
B	Arizona	Agent	Approved	06/30/2006
B	Florida	Agent	Approved	06/30/2006
B	Illinois	Agent	Approved	01/24/2012
B	Indiana	Agent	Approved	06/30/2006
B	Kentucky	Agent	Approved	06/30/2006

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Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	06/30/2006
B	Mississippi	Agent	Approved	08/24/2006
B	New York	Agent	Approved	06/30/2006
B	Ohio	Agent	Approved	06/30/2006
B	West Virginia	Agent	Approved	06/30/2006

Branch Office Locations

AMERITAS ADVISORY SERVICES
Massillon, OH

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/05/1996

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	03/21/1973

State Securities Law Exams

		Exam	Category	Date
IA	B	Uniform Combined State Law Examination (S66)	Series 66	08/26/2003
	B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/16/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	06/30/2006 - 11/01/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	WHITE BEAR LAKE, MN
IA	09/09/2003 - 06/30/2006	CARILLON INVESTMENTS, INC	CRD# 14646	CINCINNATI, OH
B	08/08/2000 - 06/30/2006	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	08/03/1987 - 08/08/2000	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	03/23/1973 - 04/24/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	
B	03/23/1973 - 07/27/1987	MONY SECURITIES CORP.	CRD# 4386	

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
11/2021 - Present	AMERITAS ADVISORY SERVICES, LLC	Mass Transfer	Y	LINCOLN, NE, United States
02/2012 - Present	TAP INSURANCE AGENCY	PARTNER	Y	CINCINNATI, OH, United States
06/2006 - Present	AMERITAS INVESTMENT CORP.	REGISTERED REPRESENTATIVE/INVESTMENT ADVISOR	Y	LINCOLN, NE, United States
06/2006 - Present	AMERITAS LIFE INSURANCE CORP	AGENT	Y	LINCOLN, NE, United States
06/1985 - Present	TOTAL ASSET PLANNING	PRESIDENT/OWNER	Y	Massillon, OH, 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.

*LICENSED AS AN INDEPENDENT INSURANCE AGENT FOR THE PURPOSE OF SELLING FIXED INSURANCE PRODUCTS; *TOTAL ASSET PLANNING; SAME AS BRANCH; INV REL; INSURANCE SALES; PRESIDENT/OWNER; START

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

DATE=06/1985; HRS/MO=10; TRADING HRS/MO=0; SERVICE AND SALES TO CLIENTS OF INSURANCE PRODUCTS; *TAP INSURANCE AGENCY; 11503 DEERFIELD RD, CINCINNATI OH 45242; INV REL; INSURANCE SALES AND GA CONTRACT; PARTNER; START DATE=02/2012; HRS/MO=10; TRADING HRS/MO=0; SALES AND OWNER; *Total Asset Planning Real Estate, LLC; 11503 Deerfield Rd, Cincinnati OH 45242; non-inv rel; owns the real estate our offices are in; Co-Owner; start date=06/2005; hrs/mo=1; trading hrs/mo=0; co-manager of the real estate * Rental Property; 368 Snapdragon Loop, Bradenton FL 34212; non-inv rel; renting my Florida home; Owner; start date=11/2025; hrs/mo=30; trading hrs/mo=0; collect rent monthly

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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.

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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
Financial	1
Judgment/Lien	3

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: AMERITAS INVESTMENT CORP

Allegations: THE COMPLAINTANT IS CLAIMING SHE WAS NOT CONTACTED WHEN THE FUND ALTERED THE INVESTMENT STYLE. ALBERS WAS ASSIGNED AS RR ON THE ACCOUNT AFTER THE ORIGINIAL RR LEFT THE COMPANY.

Product Type: Mutual Fund

Alleged Damages: $224,000.00

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: 07/21/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/21/2009

Settlement Amount:

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Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION ARBITRATION, SOUTHEAST REGIONAL OFFICE
Docket/Case #:	09-04160
Date Notice/Process Served:	07/21/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/24/2010
Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	$15,000.00

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Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/24/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/30/2018
If a compromise with creditor, provide:	
Name of Creditor:	Citi Bank NA
Original Amount Owed:	$21,168.59
Terms Reached with Creditor:	agreed to a settlement amount of 7409.00

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Judgment/Lien

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

Disclosure 1 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$70,751.05
Judgment/Lien Type:	Tax
Date Filed with Court:	07/28/2025
Date Individual Learned:	08/28/2025
Type of Court:	State Court
Name of Court:	County Clerks Office
Location of Court:	Manatee County, Florida
Docket/Case #:	202541092873
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$15,129.36
Judgment/Lien Type:	Tax
Date Filed with Court:	07/27/2018
Date Individual Learned:	08/17/2018
Type of Court:	Federal Court
Name of Court:	County Clerks Office Manatee County
Location of Court:	Bradenton FL
Judgment/Lien Outstanding?	Yes
Broker Statement	Have an established payment plan with the IRS to resolve this debt

Disclosure 3 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$51,502.69
Judgment/Lien Type:	Tax
Date Filed with Court:	01/31/2017
Date Individual Learned:	02/07/2017
Type of Court:	State Court
Name of Court:	County Clerks Office

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Location of Court:	Manatee County Bradenton FL
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX LIEN FOR TAXES I OWE FOR 2013, 2014 AND 2015.I AM CURRENTLY ON A MONTHLY PAYMENT PLAN. IRS FILED A NEW LIEN BEACUSE THE TOTAL AMOUNT DUE WENT OVER $50,000.00

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End of Report

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