



IAPD Report

THOMAS HARRIS MEYER

CRD# 2369107

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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 HARRIS MEYER (CRD# 2369107)

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 **07/02/2024**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|--------------------------|-------------|------------------|
| IA | THOMAS MEYER INVESTMENTS | CRD# 327049 | 09/06/2023 |

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 | TURNER CAPITAL INVESTMENTS, LLC | 146134 | Austin, TX | 06/03/2022 - 03/23/2023 |
| IA | TURNER CAPITAL INVESTMENTS, LLC | 146134 | AUSTIN, TX | 10/09/2008 - 11/30/2015 |
| IA | AIG RETIREMENT ADVISORS, INC. | 42803 | AUSTIN, TX | 02/16/2007 - 07/15/2008 |

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 |
| Criminal | 1 |
| Customer Dispute | 1 |
| 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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THOMAS MEYER INVESTMENTS**
Main Address: LEANDER, TX
Firm ID#: 327049

| Regulator | Registration | Status | Date |
|-----------------|-----------------------------------|----------|------------|
| IA Texas | Investment Adviser Representative | Approved | 09/06/2023 |

Branch Office Locations

THOMAS MEYER INVESTMENTS
LEANDER, TX



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 |
|--|----------|------------|
| General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 11/04/1998 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-----------|------------|
| National Commodity Futures Examination (S3) | Series 3 | 11/15/2017 |
| Futures Managed Funds Examination (S31) | Series 31 | 08/24/1993 |
| General Securities Representative Examination (S7) | Series 7 | 07/26/1993 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Investment Adviser Law Examination (S65) | Series 65 | 02/19/2022 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/27/1993 |

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 | 06/03/2022 - 03/23/2023 | TURNER CAPITAL INVESTMENTS, LLC | CRD# 146134 | Autstin, TX |
| IA | 10/09/2008 - 11/30/2015 | TURNER CAPITAL INVESTMENTS, LLC | CRD# 146134 | AUSTIN, TX |
| IA | 02/16/2007 - 07/15/2008 | AIG RETIREMENT ADVISORS, INC. | CRD# 42803 | AUSTIN, TX |
| B | 01/31/2007 - 07/15/2008 | AIG RETIREMENT ADVISORS, INC. | CRD# 42803 | AUSTIN, TX |
| B | 11/12/2004 - 11/22/2005 | INDEPENDENT FINANCIAL GROUP, LLC | CRD# 7717 | AUSTIN, TX |
| B | 07/01/2003 - 12/09/2004 | WACHOVIA SECURITIES, LLC | CRD# 19616 | ST. LOUIS, MO |
| IA | 07/01/2003 - 12/09/2004 | WACHOVIA SECURITIES, LLC | CRD# 19616 | AUSTIN, TX |
| IA | 07/09/2001 - 07/01/2003 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | CORPUS CHRISTI, TX |
| B | 07/06/2001 - 07/01/2003 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |
| B | 07/27/1993 - 07/11/2001 | MORGAN STANLEY DW INC. | CRD# 7556 | PURCHASE, NY |

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 |
|-------------------|--|--|--------------------|--|
| 03/2023 - Present | Thomas Meyer Investment Management LLC | Managing Member and Chief Compliance Officer | Y | President, TX, United States |
| 07/2021 - Present | AlgoTrendTraders | Owner | Y | Leander, TX, United States |
| 01/2024 - 07/2024 | Turner Capital Investments LLC | Consultant | Y | Austin, TX, United States |
| 10/2021 - 01/2023 | Turner Capital Investments | Investment Specialist | Y | Investment Specialist, TX, United States |



Registration & Employment History

EMPLOYMENT HISTORY

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|---------------|---------------------------------|--------------------|-------------------------|
| 12/2015 - 09/2021 | Self-Employed | Financial Writing and Education | N | None, 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.

1. THOMAS HARRIS MEYER is the Owner of AlgoTrendTraders; Investment related: Yes; Location: 2205 Lookout Range Drive Leander TX 78641; Description: This is an investment newsletter published weekly on Substack. No recommendations are made. Trend-following charts are shown for 6 total tickers and commentary on trend-following is given. The newsletter is free and there is no income derived from the business; Responsibilities Duties: Create, write, and publish a weekly newsletter that is posted for delivery each Monday morning before the markets are open. Post updates on Twitter a few times a week.; Start date: 2021-07-05; Hours per month during trading hours: 2; Hours per month outside trading hours: 10; Percentage of total yearly compensation expected to be derived from the business: 0; Website address for the organization: algotrendtraders.substack.com.



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 |
| Criminal | 1 |
| Customer Dispute | 1 |
| 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

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | FLORIDA OFFICE OF FINANCIAL REGULATION |
| Sanction(s) Sought: | Denial |
| Date Initiated: | 08/17/2012 |
| Docket/Case Number: | 0126-SR-2/11 |
| URL for Regulatory Action: | |
| Employing firm when activity occurred which led to the regulatory action: | SABINAL CAPITAL INVESTMENTS, LLC |
| Product Type: | No Product |
| Allegations: | MAKING A MATERIAL FALSE STATEMENT ON THE APPLICATION FOR REGISTRATION |
| Current Status: | Final |
| Resolution: | Order |



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: 08/17/2012

Sanctions Ordered: Denial

Regulator Statement ON 08/17/2012, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF THOMAS HARRIS MEYER. MR. MEYER NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. MEYER MADE A MISSTATEMENT OF MATERIAL FACT ON THE APPLICATION FOR REGISTRATION. PURSUANT TO THE ORDER, MR. MEYER'S APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON (RA) OF SABINAL CAPITAL INVESTMENTS, LLC IS DENIED WITHOUT PREJUDICE TO REAPPLY.

Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Denial

Date Initiated: 05/19/2011

Docket/Case Number: 0126-SR-2/11

Employing firm when activity occurred which led to the regulatory action: SABINAL CAPITAL INVESTMENTS, LLC

Product Type: No Product

Allegations: MAKING A MATERIALLY FALSE STATEMENT ON THE APPLICATION FOR REGISTRATION

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 08/17/2012

Sanctions Ordered: Denial

Broker Statement ON 08/17/2012, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF THOMAS HARRIS MEYER. MR. MEYER NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. MEYER MADE A MISSTATEMENT OF MATERIAL FACT ON THE APPLICATION FOR REGISTRATION. PURSUANT TO THE ORDER, MR. MEYER'S APPLICATION



FOR REGISTRATION AS AN ASSOCIATED PERSON (RA) OF SABINAL
CAPITAL INVESTMENTS, LLC IS DENIED WITHOUT PREJUDICE TO REAPPLY.



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 |
| Formal Charges were brought in: | State Court |
| Name of Court: | COUNTY COURT AT LAW #CC6 |
| Location of Court: | TRAVIS COUNTY, TEXAS |
| Docket/Case #: | 737239 |
| Charge Date: | 08/09/2006 |
| Charge(s) 1 of 1 | |
| Formal Charge(s)/Description: | THEFT BY CHECK |
| No of Counts: | 1 |
| Felony or Misdemeanor: | Misdemeanor |
| Plea for each charge: | NO PLEA |
| Disposition of charge: | Dismissed |
| Current Status: | Final |
| Status Date: | 06/19/2009 |
| Disposition Date: | 06/19/2009 |
| Sentence/Penalty: | NONE. I SHOWED THE COURT THAT I HAD PAID THE DEBT OF \$1,179.17 AND THE CHARGE WAS DISMISSED. |
| Broker Statement | I HAD FILED FOR CHAPTER 13 PERSONAL BANKRUPTCY IN DECEMBER 2005. I THOUGHT THE CHECK IN QUESTION WAS INCLUDED AS IT WAS WRITTEN PRIOR TO THAT DATE AND WAS LISTED IN MY MY DEBTS TO MY ATTORNEY. HOWEVER, THIS CHECK APPARENTLY DID NOT ACTUALLY MAKE IT UNDER THE BANKRUPTCY. ONCE I WAS MADE AWARE THAT THIS DEBT WAS STILL OUTSTANDING, I PAID THE DEBT IN FULL, FULFILLING MY OBLIGATION. |



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: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CLIENT CLAIMS THAT IN MARCH 2004 HIS FINANCIAL ADVISOR RECOMMENDED THAT HE INVEST FUNDS IN AN OIL WELL INVESTMENT OPPORTUNITY. THE CLIENT CLAIMS THAT THE FINANCIAL ADVISOR REPRESENTED THAT THE INVESTMENT WOULD RETURN 25-30% INITIALLY AND THEN INCREASE TO 40%. THIS INVESTMENT WAS NOT ENDORSED BY OR SOLD THROUGH WACHOVIA SECURITIES. THE CLIENT INVESTED \$30,000 AND IS DEMANDING REIMBURSEMENT OF THIS AMOUNT FROM WACHOVIA SECURITIES.

Product Type: No Product

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 02/03/2005

Complaint Pending? No

Status: Settled

Status Date: 08/15/2005

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Firm Statement AS A BUSINESS DECISION, AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$20,000.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES LLC

Allegations: CLIENT CLAIMS THAT IN MARCH 2004 HIS FINANCIAL ADVISOR RECOMMENDED THAT HE INVEST IN AN OIL WELL INVESTMENT OPPORTUNITY. THE CLIENT CLAIMS THAT THE FINANCIAL ADVISOR REPRESENTED THAT THE INVESTMENT WOULD RETURN 25-30 % INITIALLY AND THEN INCREASE TO 40 %. THE CLIENT INVESTED \$30,000 AND DEMANDS REIMBURSEMENT OF THIS AMOUNT.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$30,000.00



Customer Complaint Information

Date Complaint Received: 02/18/2005

Complaint Pending? No

Status: Denied
Settled

Status Date: 08/01/2005

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DENY THE ALLEGATION THAT I MISREPRESENTED THE INVESTMENT TO [CUSTOMER] HOWEVER WACHOVIA SETTLED THE COMPLAINTS FOR \$20,000.



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: | Individual |
| Firm Name: | WACHOVIA SECURITIES |
| Termination Type: | Discharged |
| Termination Date: | 11/10/2004 |
| Allegations: | DID NOT PROVIDE NOTIFICATION TO FIRM OF AN OUTSIDE ACTIVITY. |
| Product Type: | No Product |
| Other Product Types: | |



End of Report

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