IAPD Report

ERNEST PAUL CARRERA

CRD# 2398888

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

ERNEST PAUL CARRERA (CRD# 2398888)

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 **08/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/09/2015
IA	IHT WEALTH MANAGEMENT LLC	CRD# 171481	02/05/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	WEALTHCARE ADVISORY PARTNERS LLC	171976	Tampa, FL	05/17/2019 - 02/04/2020
IA	INDEPENDENT FINANCIAL PARTNERS	125112	Tampa, FL	03/08/2016 - 05/02/2019
IA	LPL FINANCIAL LLC	6413	TAMPA, FL	07/15/2015 - 03/11/2016

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
Criminal	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 **6** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/09/2015
B	Alabama	Agent	Approved	11/02/2016
B	Colorado	Agent	Approved	07/09/2015
B	Florida	Agent	Approved	07/09/2015
B	North Carolina	Agent	Approved	09/22/2015
B	Ohio	Agent	Approved	03/08/2024
B	Tennessee	Agent	Approved	08/12/2022

Branch Office Locations

LPL FINANCIAL LLC
105 SOUTH ARMENIA AVE
TAMPA, FL 33609

Employment 2 of 2

Firm Name: **IHT WEALTH MANAGEMENT LLC**

Main Address: 123 N. WACKER DR.
SUITE 2300
CHICAGO, IL 60606

Firm ID#: 171481

Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/05/2020

Branch Office Locations

IHT WEALTH MANAGEMENT LLC
105 SOUTH ARMENIA AVE.
TAMPA, FL 33609

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/19/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/27/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/1997

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	05/17/2019 - 02/04/2020	WEALTHCARE ADVISORY PARTNERS LLC	CRD# 171976	Tampa, FL
IA	03/08/2016 - 05/02/2019	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	Tampa, FL
IA	07/15/2015 - 03/11/2016	LPL FINANCIAL LLC	CRD# 6413	TAMPA, FL
IA	11/30/2009 - 07/10/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	TAMPA, FL
B	10/27/2009 - 07/10/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	TAMPA, FL
B	10/27/2009 - 12/22/2009	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
IA	07/22/2003 - 10/15/2009	COLONIAL ASSET MANAGEMENT INC	CRD# 108950	TAMPA, FL
B	07/12/2002 - 10/15/2009	COLONIAL BROKERAGE, INC.	CRD# 111668	TAMPA, FL
B	05/05/1997 - 07/26/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	04/22/1997 - 07/26/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	TAMPA, FL
B	11/29/1996 - 04/25/1997	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	09/19/1994 - 12/31/1994	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	01/28/1994 - 08/09/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	01/28/1994 - 08/09/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

Registration & Employment History

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
02/2020 - Present	IHT WEALTH MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TAMPA, FL, United States
07/2015 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
05/2019 - 02/2020	WEALTHCARE ADVISORY PARTNERS, LLC DBA CARRERA FINANCIAL	WEALTH ADVISOR	Y	Tampa, FL, United States
01/2016 - 05/2019	Independent Financial Partners	Investment Advisor Representative	Y	Tampa, FL, United States
08/2015 - 05/2019	CARRERA FINANCIAL	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, 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. 7/9/2015 - ALEGNA ARMENIA ENTERPRISES - Investment Related - 105 S. ARMENIA AVE TAMPA FL - REAL ESTATE RENTAL - START 4/1/2011 - 1 HOUR PER MONTH - Time Spent 1% - ENTITY THAT HOLDS HIS OFFICE BUILDING.

2. 7/9/2015 - CARRERA AIR - Not Investment Related - Home Based - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - OWNER AND PILOT - START 03/31/2013 - 3 Hours Per Month/0 Hours During Securities Trading - Time Spent 3% TIME SPENT - Entity that holds airplane.

3. 7/9/2015 - Levin Financial - Investment Related - 4830 W Kennedy Blvd #800, Tampa, FL 33609 - Non-Variable Insurance - Started 10/15/2015 - Time Spent 1% - Soliciting fixed annuities and life insurance.

4. 8/17/2015 - CARRERA FINANCIAL - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 04/01/2010 - 1 Hour Per Month/0 Hours During Securities Trading - Time Spent 1%.

5. 8/4/2016 - Carrera Financial - Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Started 01/01/2008 - 5 Hours Per Month During Securities Trading.

6. 2/24/2020 - IHT Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Started 02/03/2020 - 80 Hours Per Month/5 Hours During Securities Trading - I provide investment advisory services through IHT Wealth Management, an independent investment advisor firm. I started this business activity in 02/2020. I expect to spend approximately 80 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

7. 2/7/2022 - 2401 Bayshore Blvd. #1001, LLC - Investment Related - 2401 Bayshore Blvd. #1001 - Real Estate Rental - Owner - Started 03/22/2021 - 2 Hours Per Month/0 Hours During Securities Trading.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

8. 2/7/2022 - 1804 W. El Paso, LLC - Investment Related - 1804 W. El Paso Dr. - Real Estate Rental - Owner - Started 03/22/2021 - 2 Hours Per Month/0 Hours During Securities Trading.

9. 2/7/2022 - 3108 N. Rome Ave., LLC - Investment Related - 3108 N. Rome Ave. - Real Estate Rental - Owner - Started 08/18/2021 - 2 Hours Per Month/0 Hours During Securities Trading.

10. 2/8/2022 - 8470 W. Gulf Blvd. #404, LLC - Investment Related - 8470 W. Gulf Blvd. #404, Treasure Island, FL 33706 - Real Estate Rental - Owner - Started 08/18/2021 - 2 Hours Per Month/1 Hour During Securities Trading

11. 05/25/2023 - Execujet - Not Investment Related - Tampa, FL - Outside/W-2 Employment - Pilot - Start Date 06/20/2023 - 15 Hours Per Month/5 Hours During Securites Trading

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	2

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 2

Reporting Source:	Individual
Formal Charges were brought in:	Circuit Court
Name of Court:	Circuit Court Pinellas County
Location of Court:	Pinellas County, FL
Docket/Case #:	20-04947-CF
Charge Date:	05/23/2020
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Felony Battery
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/01/2021
Disposition Date:	09/01/2021
Sentence/Penalty:	Pretrial Invention Agreement 05/25/2021; 09/01/2021 Dismissal

Disclosure 2 of 2

Reporting Source:	Individual
Formal Charges were brought in:	CIRCUIT COURT

Name of Court:	CIRCUIT COURT
Location of Court:	HILLSBOROUGH COUNTY
Docket/Case #:	06-CF-019872
Charge Date:	09/28/2007
Charge(s) 1 of 2	
Formal Charge(s)/Description:	BURGLARY OF A CONVEYANCE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	10/30/2007
Charge was Amended or reduced to:	TRESPASS F.S. 810.08
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 2 of 2	
Formal Charge(s)/Description:	BATTERY (TOUCH OR STRIKE)
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	10/30/2007
Charge was Amended or reduced to:	TRESPASS FS 810.08
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	10/30/2007
Disposition Date:	10/30/2007
Sentence/Penalty:	PROBATION 1 YEAR
Broker Statement	ALL COUNTS WERE REDUCED TO A SINGLE COUNT OF TRESPASS UNDER

F.S. 810.08, A MISDEMEANOR

End of Report

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