



IAPD Report

THOMAS LELAND BARTON

CRD# 4079032

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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 LELAND BARTON (CRD# 4079032)

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 **09/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PACKERLAND BROKERAGE SERVICES, INC.	CRD# 37031	03/18/2010
IA	PACKERLAND BROKERAGE SERVICES, INC.	CRD# 37031	08/11/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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
B	FREEDOM INVESTORS CORP.	23714	MENOMONEE FALLS, WI	09/05/2008 - 03/23/2010
IA	FREEDOM INVESTORS CORP.	23714	MENOMONEE FALLS, WI	09/03/2008 - 09/03/2008
B	WORLD GROUP SECURITIES, INC.	114473	MONOMONEE FALLS, WI	04/12/2002 - 09/02/2008

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
Customer Dispute	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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PACKERLAND BROKERAGE SERVICES, INC.**
Main Address: 432 SECURITY BLVD.
STE. 101
GREEN BAY, WI 54313-9709
Firm ID#: 37031

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	03/18/2010
B	FINRA	Investment Co./Variable Contracts Prin	Approved	03/18/2010
B	Arizona	Agent	Approved	12/03/2021
IA	Arizona	Investment Adviser Representative	Approved	12/10/2021
B	Florida	Agent	Approved	04/24/2018
IA	Florida	Investment Adviser Representative	Approved	04/25/2018
B	Idaho	Agent	Approved	10/18/2019
IA	Idaho	Investment Adviser Representative	Approved	10/22/2020
B	Illinois	Agent	Approved	03/18/2010
IA	Illinois	Investment Adviser Representative	Approved	08/11/2011
B	Iowa	Agent	Approved	03/18/2010
IA	Iowa	Investment Adviser Representative	Approved	10/23/2020
B	Kansas	Agent	Approved	05/12/2023



Qualifications

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	05/12/2023
B Michigan	Agent	Approved	12/04/2024
IA Michigan	Investment Adviser Representative	Approved	07/09/2025
B Minnesota	Agent	Approved	03/18/2010
IA Minnesota	Investment Adviser Representative	Approved	05/21/2014
B North Dakota	Agent	Approved	10/30/2023
IA North Dakota	Investment Adviser Representative	Approved	10/30/2023
B Oklahoma	Agent	Approved	07/16/2010
IA Oklahoma	Investment Adviser Representative	Approved	09/09/2025
B Oregon	Agent	Approved	04/27/2016
IA Oregon	Investment Adviser Representative	Approved	04/28/2016
B Tennessee	Agent	Approved	07/18/2022
B Utah	Agent	Approved	08/21/2025
IA Utah	Investment Adviser Representative	Approved	08/21/2025
B Wisconsin	Agent	Approved	03/18/2010
IA Wisconsin	Investment Adviser Representative	Approved	08/11/2011

Branch Office Locations

PACKERLAND BROKERAGE SERVICES, INC.

784 Summit Ave
Oconomowoc, WI 53066




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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/21/2004

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/17/2000

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/23/1999

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
B	09/05/2008 - 03/23/2010	FREEDOM INVESTORS CORP.	CRD# 23714	MENOMONEE FALLS, WI
IA	09/03/2008 - 09/03/2008	FREEDOM INVESTORS CORP.	CRD# 23714	MENOMONEE FALLS, WI
B	04/12/2002 - 09/02/2008	WORLD GROUP SECURITIES, INC.	CRD# 114473	MONOMONEE FALLS, WI
B	05/18/2000 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
03/2010 - Present	PACKERLAND BROKERAGE SERVICES, INC	REGISTERED REPRESENTATIVE	Y	GREEN BAY, WI, United States
06/2007 - Present	BLUE CROSS BLUE SHIELD	AGENT	N	HARTLAND, WI, United States
05/2007 - Present	ANTHEM BLUE CROSS AND BLUE SHIELD	AGENT	N	MILWAUKEE, WI, 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) BROKERS INTERNATIONAL MOUNTAIN STATES
 418 S 9TH ST, SUITE 305 BOISE, IDAHO 83702
 TITLE: INSURANCE AGENT
 DUTIES: INSURANCE LIFE, HEALTH, FIXED INDEXED ANNUITIES, LTC, DISABILITY
 HOURS DEVOTED: 10 HOURS
 START DATE: 1/2015
 NON INVESTMENT, BUT INSURANCE RELATED

Highland Capital Brokerage
 Life Insurance, Health Insurance, Long Term Care Insurance, Disability Insurance, Fixed/Fixed Indexed Annuity Sales
 8900 Keystone Crossing
 Indianapolis IN, 46240
 United States
 Phone Number: (800) 234-6251



Registration & Employment History



OTHER BUSINESS ACTIVITIES

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
Regulatory Event	1
Customer Dispute	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:	Individual
Regulatory Action Initiated By:	Wisconsin Office of Commissioner of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/27/2022
Docket/Case Number:	20-C43565
Employing firm when activity occurred which led to the regulatory action:	Packerland Brokerage Services, Inc
Product Type:	Annuity-Fixed
Allegations:	WI OCI alleged that representative violated state insurance regulations by gifting a "prayer jar" to client after client's husbands death. WI OCI also alleged that representative misrepresented himself as a federal benefits specialist, which OCI alleged was an improper senior-specific certification. Lastly, OCI alleged that representative recommended an annuity with limited access to client's retirement funds.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	08/19/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,000.00
Portion Levied against individual:	\$3,000.00
Payment Plan:	Cashiers Check
Is Payment Plan Current:	Yes
Date Paid by individual:	09/03/2022
Was any portion of penalty waived?	No
Amount Waived:	



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:	Packerland Brokerage Services, Inc
Allegations:	Customer alleges misrepresentation of product sold. Product sold on 11/5/2018. Complaint reported on 11/4/2019.
Product Type:	Annuity-Fixed
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Customer has not alleged any damages but would like the total amount paid for the annuity returned.
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:	11/04/2019
Complaint Pending?	No
Status:	Denied
Status Date:	12/21/2020
Settlement Amount:	
Individual Contribution Amount:	



End of Report

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