



IAPD Report

CURTIS LEROY HARRINGTON

CRD# 4162327

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	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

CURTIS LEROY HARRINGTON (CRD# 4162327)

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 **06/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	10/30/2001
IA	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	11/01/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	RALSTON, NE	12/03/2003 - 11/01/2021
B	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA	03/27/2000 - 12/13/2000

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



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

Employment 1 of 2

Firm Name: **AMERITAS INVESTMENT COMPANY, LLC**

Main Address: 5900 "O" STREET
LINCOLN, NE 68510-2234

Firm ID#: 14869

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	10/30/2001
	FINRA	General Securities Representative	Approved	10/15/2002
	FINRA	General Securities Principal	Approved	11/13/2003
	Alabama	Agent	Approved	09/25/2015
	Arizona	Agent	Approved	11/16/2010
	Arkansas	Agent	Approved	07/15/2019
	California	Agent	Approved	08/14/2013
	Colorado	Agent	Approved	01/06/2009
	Florida	Agent	Approved	01/06/2016
	Idaho	Agent	Approved	12/14/2016
	Illinois	Agent	Approved	01/05/2007
	Indiana	Agent	Approved	05/15/2013
	Iowa	Agent	Approved	10/30/2001



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	01/17/2007
B	Kentucky	Agent	Approved	01/12/2015
B	Maryland	Agent	Approved	08/24/2018
B	Mississippi	Agent	Approved	03/14/2013
B	Missouri	Agent	Approved	02/17/2004
B	Montana	Agent	Approved	06/19/2012
B	Nebraska	Agent	Approved	10/30/2001
B	Nevada	Agent	Approved	07/19/2019
B	New York	Agent	Approved	08/30/2019
B	North Dakota	Agent	Approved	12/04/2018
B	Oklahoma	Agent	Approved	07/15/2019
B	Pennsylvania	Agent	Approved	07/15/2019
B	South Dakota	Agent	Approved	05/20/2022
B	Texas	Agent	Approved	07/02/2012
B	Virginia	Agent	Approved	01/08/2015
B	Washington	Agent	Approved	06/23/2022

Branch Office Locations

AMERITAS ADVISORY SERVICES

11128 O St
Omaha, NE 68137

Employment 2 of 2



Qualifications

Firm Name: **AMERITAS ADVISORY SERVICES, LLC**
Main Address: 5900 O STREET
LINCOLN, NE 68510
Firm ID#: 317245

	Regulator	Registration	Status	Date
IA	Nebraska	Investment Adviser Representative	Approved	11/01/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/01/2021

Branch Office Locations

AMERITAS ADVISORY SERVICES, LLC
11128 O ST
OMAHA, NE 68137



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	11/12/2003

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	10/14/2002
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/24/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/12/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/28/2000



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	12/03/2003 - 11/01/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	RALSTON, NE
B	03/27/2000 - 12/13/2000	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA

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
01/2015 - Present	AMERITAS LIFE INSURANCE CORP	AGENT	Y	LINCOLN, NE, United States
11/2001 - Present	CENTRAL FINANCIAL SERVICES	LICENSED AGENT	Y	OMAHA, NE, United States
10/2001 - Present	AMERITAS INVESTMENT CORP.	REGISTERED REPRESENTATIVE	Y	LINCOLN, NE, 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.

CENTRAL FINANCIAL SERVICES; INV REL; SAME AS BRANCH; LIFE INSURANCE SALES; LICENSED AGENT; START DATE=11/2001; HRS/MO=40; TRADING HRS/MO=40; LIFE INSURANCE



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

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:	NEBRASKA DEPARTMENT OF BANKING AND FINANCE
Sanction(s) Sought:	Other: CONSENT ORDER
Date Initiated:	07/31/2008
Docket/Case Number:	ORDER # 12358
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	AMERITAS INVESTMENT CORP.
Product Type:	No Product
Allegations:	AMERITAS INVESTMENT CORP. ("AMERITAS") IS A CORPORATION ORGANIZED UNDER THE LAWS OF NEBRASKA, WITH ITS PRINCIPAL PLACE OF BUSINESS LOCATED AT 5900 "O" STREET, LINCOLN, NEBRASKA. AT ALL TIMES RELEVANT TO THIS ORDER, AMERITAS WAS REGISTERED AS A BROKER-DEALER APPROVED TO TRANSACT GENERAL SECURITIES BUSINESS IN NEBRASKA PURSUANT TO NEB. REV. STAT. § 8-1103 (CUM. SUPP. 2006). CURTIS L. HARRINGTON ("HARRINGTON") IS AN AGENT OF AMERITAS, REGISTERED TO TRANSACT GENERAL SECURITIES BUSINESS IN NEBRASKA PURSUANT TO NEB. REV. STAT. § 8-1103 (CUM. SUPP. 2006). HARRINGTON MAINTAINS OFFICES AT 5370 SOUTH 72ND STREET, RALSTON, NEBRASKA; AND 11902 PIERCE PLAZA, SUITE 200, OMAHA, NEBRASKA. EVERY INDIVIDUAL REGISTERED TO CONDUCT SECURITIES BUSINESS AS AN AGENT IS REQUIRED TO SUBMIT A UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION ("FORM U4") TO THE DEPARTMENT. ITEM 13 ON FORM U4 ASKS WHETHER THE PERSON IS CURRENTLY ENGAGED IN ANY OUTSIDE BUSINESS, EITHER AS A



PROPRIETOR, PARTNER, OFFICER, DIRECTOR, EMPLOYEE, TRUSTEE, AGENT, OR OTHERWISE. NON-INVESTMENT-RELATED ACTIVITY THAT IS EXCLUSIVELY CHARITABLE, CIVIC, RELIGIOUS OR FRATERNAL, AND IS RECOGNIZED AS TAX EXEMPT, MAY BE EXCLUDED.

ITEM 13 OF FORM U4 FILED WITH THE DEPARTMENT BY, AND ON BEHALF OF, HARRINGTON ON OR ABOUT JUNE 4, 2007, STATES THAT HARRINGTON IS "LICENSED AS AN INDEPENDENT INSURANCE AGENT FOR THE PURPOSE OF SELLING FIXED INSURANCE PRODUCTS." HARRINGTON DID NOT DISCLOSE HIS AFFILIATION WITH CFS. ACCORDING TO THE RECORDS OF THE NEBRASKA DEPARTMENT OF INSURANCE, HARRINGTON'S LICENSE TO SELL INSURANCE EXPIRED IN FEBRUARY 2008 AND WAS NOT RENEWED. HARRINGTON HAS NOT FILED AN AMENDED FORM U4 SUBSEQUENT TO THE EXPIRATION OF HIS LICENSE TO SELL INSURANCE. BY A CONSENT ORDER DATED AUGUST 21, 2008, THE DEPARTMENT RESOLVED ALL ISSUES REGARDING THE SUPERVISORY LIABILITY OF AMERITAS FOR THE ACTIONS DESCRIBED HEREIN. PURSUANT TO THE CONSENT ORDER, AMERITAS WAS FINED THE AMOUNT OF \$10,000.00. IT IS THEREFORE ORDERED THAT CURTIS L. HARRINGTON SHALL PAY A FINE IN THE AMOUNT OF FIVE HUNDRED DOLLARS (\$500.00). SUCH PAYMENT SHALL BE MADE BY A CHECK OR MONEY ORDER PAYABLE TO THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE WITHIN THIRTY (30) DAYS FROM THE EFFECTIVE DATE OF THIS ORDER. IN THE EVENT THAT HARRINGTON FAILS TO COMPLY WITH THE PROVISIONS OF THIS ORDER, THE DEPARTMENT MAY COMMENCE SUCH ACTION AS IT DEEMS NECESSARY AND APPROPRIATE IN THE PUBLIC INTEREST.

Current Status:

Final

Resolution:

Consent

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:

08/21/2008

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$500.00



Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/21/2008

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

IT IS THEREFORE ORDERED THAT CURTIS L. HARRINGTON SHALL PAY A FINE IN THE AMOUNT OF FIVE HUNDRED DOLLARS (\$500.00). SUCH PAYMENT SHALL BE MADE BY A CHECK OR MONEY ORDER PAYABLE TO THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE WITHIN THIRTY (30) DAYS FROM THE EFFECTIVE DATE OF THIS ORDER. IN THE EVENT THAT HARRINGTON FAILS TO COMPLY WITH THE PROVISIONS OF THIS ORDER, THE DEPARTMENT MAY COMMENCE SUCH ACTION AS IT DEEMS NECESSARY AND APPROPRIATE IN THE PUBLIC INTEREST.

.....

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF NEBRASKA - DEPARTMENT OF BANKING AND FINANCE

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 07/31/2008

Docket/Case Number: # 12358

Employing firm when activity occurred which led to the regulatory action: AMERITAS INVESTMENT CORP

Product Type: Options

Allegations: FAILURE TO UPDATE FORM U-4, THE RR DID NOT UPDATE HIS FORM U-4 STATING HE WAS LICENSED TO SELL INSURANCE PRODUCTS WHEN HIS NE INSURANCE LICENSE EXPIRED IN FEBRUARY 2008.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 08/21/2009

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: \$500.00



Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/21/2009

Was any portion of penalty waived? No

Amount Waived:



End of Report

This page is intentionally left blank.