



## IAPD Report

# THOMAS OHEARN EIFLER SR

CRD# 76398

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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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 OHEARN EIFLER SR (CRD# 76398)

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 **08/08/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTHTRUST ASSET MANAGEMENT, LLC	CRD# 174901	08/09/2022

### 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	J.J.B. HILLIARD, W.L. LYONS, LLC	453	LOUISVILLE, KY	04/19/2017 - 02/28/2019
B	J.J.B. HILLIARD, W.L. LYONS, LLC	453	LOUISVILLE, KY	02/28/2017 - 02/28/2019
IA	IC ADVISORY SERVICES, INC.	140190	BEDMINSTER, NJ	06/02/2006 - 03/07/2017

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
Termination	2
Financial	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: **WEALTHTRUST ASSET MANAGEMENT, LLC**

Main Address: 4458 LEGENDARY DR.  
SUITE 140  
DESTIN, FL 32541

Firm ID#: 174901

	Regulator	Registration	Status	Date
	Kentucky	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

### Branch Office Locations

**WEALTHTRUST ASSET MANAGEMENT, LLC**  
Louisville, KY



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> AMEX Put and Call Exam (PC)	PC	06/13/1977
<b>B</b> Registered Representative Examination (S1)	Series 1	10/22/1973

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/09/1987



### 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	04/19/2017 - 02/28/2019	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	LOUISVILLE, KY
B	02/28/2017 - 02/28/2019	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	LOUISVILLE, KY
IA	06/02/2006 - 03/07/2017	IC ADVISORY SERVICES, INC.	CRD# 140190	BEDMINSTER, NJ
B	10/26/1999 - 03/07/2017	THE INVESTMENT CENTER, INC.	CRD# 17839	LOUISVILLE, KY
IA	02/28/2017 - 02/28/2017	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	LOUISVILLE, KY
IA	01/08/2001 - 06/02/2006	THE INVESTMENT CENTER, INC.	CRD# 17839	LOUISVILLE, KY
B	09/16/1977 - 10/29/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/27/1976 - 09/16/1977	BACHE HALSEY STUART INC.	CRD# 7238	
B	02/27/1976 - 08/27/1976	BACHE & CO INCORPORATED	CRD# 7058	
B	10/25/1973 - 02/27/1976	BACHE & CO., INCORPORATED	CRD# 66	

### 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
04/2022 - Present	TAMP Advisory Solutions	Investment Advisor Representative	Y	Louisville, KY, United States
08/2019 - 03/2022	N/A	N/A	N	LOUISVILLE, KY, United States
04/2017 - 07/2019	JJB HILLIARD WL LYONS	WEALTH ADVISOR	Y	LOUISVILLE, KY, United States
06/2006 - 03/2017	IC ADVISORY SERVICES, INC.	MASS TRANSFER	Y	LOUISVILLE, KY, United States



## Registration & Employment History



### 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) Fairfax Group LLC, Not investment-related, 122 Fairfax Avenue Louisville KY 40207, Owns real estate where office is located, Member, 0 hrs/month, no duties.
- 2) Eifler Advisory Group Inc, Not investment-related, 122 Fairfax Avenue Louisville KY 40207, Holding Company for receipt of income, Owner/President, 10/2013, 2 hrs/month total and during trading hrs, In the process of dissolving.
- 3) Eifler Group Lonestar Inc, Not investment-related, 101 East Park Blvd Ste 875 Plano TX 75074, Holding Company for receipt of income, Owner/President, 8/2013, 2 hrs/month total and during trading hrs, In the process of dissolving.
- 4) Eifler Tax Group, Not investment-related, 101 East Park Blvd Ste 875 Plano TX 75074, Tax Preparation, Owner, 11/2013, 0 hrs/month, In the process of dissolving.
- 5) St. Xavier High School, Investment-related, 1609 Poplar Level Louisville KY 40213, Review outside investment advisor, Investment Committee Member-does not have sole decision authority, 8/1969, 1 hr/month total and during trading hrs.
- 6) WEM LLC, Not Investment-related, 639 E. Jefferson Louisville KY 40202, Owner of condo, Member of LLC, 3/2006, 1 hr/month total with 0 hrs/month during trading hrs.
- 7) Fenley Campus Hotel LLC, Not investment-related, 2912 Eatpoint Pkwy Louisville KY 40223, Owns Embassy Suites hotel in Louisville, Member LLC, 9/2001, 0 hrs/month, no duties.
- 8) Caribbean Investments Ltd, Not investment-related, 500 W. Jefferson #1400 Louisville KY 40202, Owns an Island in Belize, Investor, 8/2007, 0 hrs/month.
- 9) Co-Trustee, Investment-related, 9/1987.
- 10) Gallery Square, homeowners association for condominiums owned by WEM (see above).
- 11) TEDE LLC, holding company which holds stock in WEM (see above).



## 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
Customer Dispute	1
Termination	2
Financial	1

### 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:** The Investment Center Inc.

**Allegations:** The clients allege the rep misrepresented the fixed income securities purchased in the account. The positions were purchased with a prior firm before being transferred to a Hilliard Lyons account.

**Product Type:** CD  
Debt-Corporate

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** No exact dollar amount given in alleged damages. They have asked Hilliard Lyons to buy back at full face value all fixed income positions in the account.

**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:** 11/28/2017

**Complaint Pending?** No



<b>Status:</b>	Denied
<b>Status Date:</b>	12/21/2017
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## 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 2

**Reporting Source:** Firm

**Firm Name:** THE INVESTMENT CENTER INC

**Termination Type:** Permitted to Resign

**Termination Date:** 02/28/2017

**Allegations:** FRAUD AND BREACH OF CONTRACT IN A STATE COURT ACTION FILED BY AN ALLEGED BUSINESS PARTNERS' CLAIMS FOR 50% OWNERSHIP OF A COMPANY ( OWNED BY REPRESENTATIVE ) AND FOR COMPENSATION AND EXPENSES FOR WORK ALLEGEDLY PERFORMED.

**Product Type:** No Product

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**Reporting Source:** Individual

**Firm Name:** The Investment Center, Inc.

**Termination Type:** Permitted to Resign

**Termination Date:** 02/28/2017

**Allegations:** FRAUD AND BREACH OF CONTRACT IN A STATE COURT ACTION FILED BY AN ALLEGED BUSINESS PARTNERS' CLAIMS FOR 50% OWNERSHIP OF A COMPANY ( OWNED BY REPRESENTATIVE ) AND FOR COMPENSATION AND EXPENSES FOR WORK ALLEGEDLY PERFORMED.

**Product Type:** No Product

**Broker Statement** Mr. Tom Eifler, Sr. was a defendant in a lawsuit filed in state court against Mr. Eifler's son, Tom Eifler, Jr. regarding a business that was not involved in providing any investment related services. The lawsuit alleged tortious interference with contract and civil conspiracy to defraud against Mr. Eifler, Sr., not involving any investment related services. Mr. Eifler Sr. is appealing the judgment that has been entered against him in that case. KY Court of Appeals in its opinion issued June 28, 2019 addressed all of the claims asserted against Thomas Eifler, Sr. and determined that all lacked merit. The court's "Conclusion" states that "The case is remanded with instructions to dismiss all claims against [Eifler] Sr"

### Disclosure 2 of 2

**Reporting Source:** Firm

**Firm Name:** THE INVESTMENT CENTER INC

**Termination Type:** Permitted to Resign

**Termination Date:** 02/28/2017

**Allegations:** MR. EIFLER, SR. WAS A DEFENDANT IN A LAWSUIT FILED IN STATE COURT AGAINST MR. TOM EIFLER, JR AND MR. TOM EIFLER, SR. REGARDING A BUSINESS THAT WAS NOT INVOLVED IN PROVIDING ANY INVESTMENT RELATED SERVICES. THE COURT FOUND MR.EIFLER, SR. LIABLE FOR TORTIOUS INTERFERENCE WITH PROSPECTIVE CONTRACTUAL RIGHTS,



AIDING AND ABETTING, CIVIL CONSPIRACY, PUNITIVE DAMAGES FROM TORTIOUS INTERFERENCE, AND PUNITIVE DAMAGES FOR FRAUD. NONE OF THE FINDINGS INVOLVED ANY INVESTMENT RELATED SERVICES.

**Product Type:** No Product

**Firm Statement** THE FIRM HAS BEEN INFORMED THAT MR. EIFLER INTENDS TO APPEAL THE COURT'S FINDINGS.

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**Reporting Source:** Individual

**Firm Name:** The Investment Center (Investment Center Advisory Services, Inc)

**Termination Type:** Permitted to Resign

**Termination Date:** 02/28/2017

**Allegations:** FRAUD AND BREACH OF CONTRACT IN A STATE COURT ACTION FILED BY AN ALLEGED BUSINESS PARTNERS' CLAIMS FOR 50% OWNERSHIP OF A COMPANY ( OWNED BY REPRESENTATIVE ) AND FOR COMPENSATION AND EXPENSES FOR WORK ALLEGEDLY PERFORMED.

**Product Type:** No Product

**Broker Statement** Mr. Tom Eifler, Sr. was a defendant in a lawsuit filed in state court against Mr. Eifler's son, Tom Eifler, Jr. regarding a business that was not involved in providing any investment related services. The lawsuit alleged tortious interference with contract and civil conspiracy to defraud against Mr. Eifler, Sr., not involving any investment related services. Mr. Eifler Sr. is appealing the judgment that has been entered against him in that case. KY Court of Appeals in its opinion issued June 28, 2019 addressed all of the claims asserted against Thomas Eifler, Sr. and determined that all lacked merit. The court's "Conclusion" states that "The case is remanded with instructions to dismiss all claims against [Eifler] Sr"



## 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:** Bankruptcy  
**Bankruptcy:** Chapter 11  
**Action Date:** 06/06/2017

#### Organization Investment-Related?

**Type of Court:** Federal Court  
**Name of Court:** Western District of KY Bankruptcy Court  
**Location of Court:** Louisville KY  
**Docket/Case #:** 17-31862  
**Action Pending?** No  
**Disposition:** Dismissed  
**Disposition Date:** 10/27/2020

**Broker Statement** U.S. Bankruptcy Court of Western Kentucky opinion issued October 27th, 2020 dismissed the bankruptcy case against Tom Eifler Sr. with sufficient cause."



## End of Report

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