

STATE OF NEVADA
OFFICE OF THE SECRETARY OF STATE
SECURITIES DIVISION

2250 LAS VEGAS BOULEVARD NORTH, SUITE 400
NORTH LAS VEGAS, NEVADA 89030

In the Matter of:

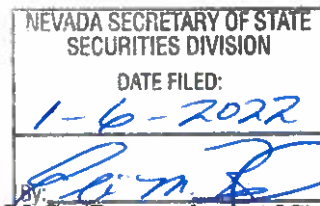
**AMERITAS INVESTMENT COMPANY,
LLC, CRD #14869**

Respondent.

ADMINISTRATIVE CONSENT ORDER

File No. CIC20-140

TO: Ameritas Investment Company, LLC
5900 "O" Street
Lincoln, NE 68510-2234



WHEREAS, AMERITAS INVESTMENT COMPANY, LLC (Respondent AIC), is a
Nebraska based broker-dealer, CRD #14869;

WHEREAS, the Division conducted an inspection of Respondent AIC branch offices on
December 18, 2020;

WHEREAS, pursuant to FINRA Rule 3110(a) and adopted by reference in NAC § 90.321, a
broker-dealer must maintain a system to supervise the activities of its associated persons that is
reasonably designed to achieve compliance with the applicable securities laws and regulations and
FINRA rules;

WHEREAS, in 2019, an internal AIC audit of a Nevada Branch Office discovered one
undisclosed outside business activity;

WHEREAS, the Division's 2020 branch office inspection discovered that Respondent AIC's
supervisory system failed to identify other undisclosed outside business activities that had not been
disclosed by the registered representatives.

1 **WHEREAS**, the Division alleges Respondent AIC violated NRS 90.420(1)(l) by failing to
2 reasonably supervise its registered representatives by not discovering undisclosed outside business
3 activities being conducted by its representatives;

4 **WHEREAS**, Respondent AIC has advised the Division of its desire to resolve the above
5 failure to comply with the requirements of Nevada's Uniform Securities Act, on the terms specified
6 within this ACO;

7 **WHEREAS**, Respondent AIC is updating its processes to enhance its supervisory procedures
8 to search for undisclosed outside business activities, if any, conducted by its representatives;

9 **WHEREAS**, Respondent AIC elects to permanently and expressly waive any right to a
10 hearing and appeal under the Act and/or to seek judicial review under the Nevada Administrative
11 Procedure Act, NRS Chapter 233B, with respect to this Order.

12 **NOW THEREFORE**, the Administrator, pursuant to the Act, hereby enters the following:

13 **ORDER**

14 Finding the following appropriate and in the public's interest, and on the basis of the
15 foregoing, and Respondents' consent to the entry of this Order,

16 **IT IS HEREBY ORDERED:**

- 17 1. Respondent will cease from violating the Act and will comply with said Act.
18 2. Respondent will pay the Nevada Secretary of State a civil penalty in the cumulative amount
19 of \$15,000.00 due upon the Respondent's consent to entry of this Order.

20 All amounts submitted under this section shall be remitted to:

21 **Nevada Secretary of State**
22 **c/o Stacey Roter**
23 **2250 Las Vegas Boulevard North, Suite 400**
 North Las Vegas, NV 89030

- 24 3. In consideration, the Division will take no further enforcement action based upon the
25 circumstances covered by this investigation and Order and close its administrative
26 investigation of the Respondent in connection with the aforementioned activities.

4. Nothing in this Order shall be construed as a waiver of the Division's right to investigate and pursue any violations by Respondent in connection with other activity not set forth herein.
5. Nothing in this Order is intended to limit or create for third parties any private remedies against Respondent.
6. This Order shall be effective as of the date on which it is signed by the Administrator as set forth below.

IT IS SO ORDERED.

DATED this 6th day of January, 2022.

BY ORDER OF THE ADMINISTRATOR
Office of the Secretary of State, Securities Division



ERIN M. HOUSTON
Deputy Secretary of State for Securities
Securities Administrator

CONSENT TO ENTRY OF ADMINISTRATIVE ORDER

Respondent Ameritas Investment Company, LLC hereby acknowledges being served with a copy of this Order, has read the foregoing Order, is aware of its right to a hearing and appeal in this matter, and has waived the same.

Respondent specifically acknowledges that a violation of this Order may constitute a felony pursuant to NRS 90.650.

Respondent admits the jurisdiction of the Securities Division of the Nevada Office of the Secretary of State and consents to entry of this Order by the Administrator of the Division as settlement of the issues contained within this Order.

Respondent states that no promise of any kind or nature, other than the consideration set forth in the Order, was made to them to induce them to enter into this Order and that they have entered into this Order voluntarily.

Dated this 4th day of January, 2022.

DocuSigned by:

Heather Nagengast

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Ameritas Investment Company, LLC
(As representative of Ameritas Investment Company, LLC)