



## IAPD Report

# DAVID WILLIAM ALTIMONT

CRD# 1253291

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.  
For more information read our [investor alert](#) on imposters.



## 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

### DAVID WILLIAM ALTIMONT (CRD# 1253291)

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 **07/13/2023**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CREATIVE PLANNING	CRD# 105348	12/20/2021

### 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 LOCKTON INVESTMENT ADVISORS, LLC	144133	DALLAS, TX	07/27/2007 - 04/11/2022
B LOCKTON INVESTMENT SECURITIES, LLC	137476	DALLAS, TX	04/14/2008 - 12/13/2021
B AIG FINANCIAL ADVISORS, INC.	133763	DALLAS, TX	12/20/2005 - 07/02/2008

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
Termination	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: **CREATIVE PLANNING**  
Main Address: 5454 W. 110TH STREET  
OVERLAND PARK, KS 66211  
Firm ID#: 105348

Regulator	Registration	Status	Date
<b>IA</b> Texas	Investment Adviser Representative	Approved	12/20/2021

#### Branch Office Locations

**CREATIVE PLANNING**  
2100 Ross Ave  
Suite 1110, 11th Floor  
Dallas, TX 75201




## 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, 4 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	07/08/2008

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/06/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/06/1987

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/23/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/1996

### 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	07/27/2007 - 04/11/2022	LOCKTON INVESTMENT ADVISORS, LLC	CRD# 144133	DALLAS, TX
B	04/14/2008 - 12/13/2021	LOCKTON INVESTMENT SECURITIES, LLC	CRD# 137476	DALLAS, TX
B	12/20/2005 - 07/02/2008	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	DALLAS, TX
IA	01/20/2006 - 08/01/2007	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	DALLAS, TX
IA	04/14/2005 - 01/04/2006	WORLD CHOICE SECURITIES, INC.	CRD# 30933	DALLAS, TX
B	03/21/2005 - 01/04/2006	WORLD CHOICE SECURITIES, INC.	CRD# 30933	DALLAS, TX
IA	08/16/2004 - 01/14/2005	WOODLANDS ASSET MANAGEMENT INC	CRD# 108122	THE WOODLANDS, TX
B	08/16/2004 - 01/14/2005	WOODLANDS SECURITIES CORPORATION	CRD# 22373	OMAHA, NE
B	07/11/2003 - 07/08/2004	MBM SECURITIES, INC.	CRD# 124850	HOUSTON, TX
B	04/26/2002 - 09/02/2003	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	JERSEY CITY, NJ
B	08/09/2000 - 11/20/2001	STRONG INVESTMENTS, INC.	CRD# 15658	MENOMONEE FALLS, W
B	08/23/1996 - 08/01/2000	SCUDDER INVESTOR SERVICES, INC.	CRD# 754	NEW YORK, NY
B	10/07/1987 - 12/31/1995	INVESCO FUNDS GROUP, INC.	CRD# 289	HOUSTON, TX

### 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
12/2021 - Present	Creative Planning, LLC	Investment Adviser Representative	Y	Dallas, TX, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2007 - 04/2022	LOCKTON INVESTMENT ADVISORS, LLC	PRINCIPAL PRODUCER	Y	KANSAS CITY, MO, United States
04/2008 - 12/2021	LOCKTON FINANCIAL ADVISORS, LLC	PRINCIPAL PRODUCER	Y	KANSAS CITY, MO, United States
07/2003 - 12/2021	LOCKTON COMPANIES, LLC	PRODUCER	N	DALLAS, TX, 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.

No information reported.



## 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
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Termination	1
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### 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 1

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	WORLD CHOICE SECURITIES, INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	12/22/2005
<b>Allegations:</b>	BECAME DUALY REGISTERED WITH ANOTHER BROKERDEALER WHILE STILL REGISTERED WITH WORLD CHOICE. VIOLATED COMPANY POLICY AND HIS EMPLOYMENT CONTRACT.
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Firm Statement</b>	RECEIVED EMPLOYMENT VERIFICATION FROM SUN AMERICA ON 12/22/2005. WHEN WE CHECKED HIS CRD WE FOUND THAT HE WAS ALREADY REGISTERED WITH THEM. NO TERMINATION NOTICE WAS GIVEN TO WORLD CHOICE.

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<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	WORLD CHOICE SECURITIES, INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	01/04/2006
<b>Allegations:</b>	BECAME DUALY REGISTERED WITH ANOTHER BORKER DEALER WHILE STILL REGISTERED WITH WORLD CHOICE. VIOLATED COMPANY POLICY AND HIS EMPLOYMENT CONTRACT.
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	



**Broker Statement**

AT TIME OF AFFILIATION WITH AIG FINANCIAL ADVISORS, INC. (AIGFA) A COPY OF MY TERMINATION LETTER TO WORLD CHOICE WAS PROVIDED TO AIGFA. UPON RECEIPT OF THIS LETTER FORM U4 WAS SUBMITTED BY AIGFA AS "RE-LICENSE BD" PLACING WORLD CHOICE ON NOTICE THAT I WAS TERMINATING AND REAFFILIATING WITH ANOTHER BROKER-DEALER THEREBY TRIGGERING WORLD CHOICE'S OBLIGATION AND RESPONSIBILITY TO FILE FORM U5. THE U4 FILING AUTOMATICALLY ALERTED WORLD CHOICE BY POPULATING ITS U5 REQUIRED QUEUE. THE U4 FILING WAS NOT AND IS NOT A DUAL REGISTRATION FILING, THUS, WORLD CHOICE'S DISCLOSURE THAT I WAS DUALY REGISTERED IN VIOLATION OF THEIR POLICIES AND PROCEDURES IS INCORRECT.



## End of Report

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