



## IAPD Report

# LARRY WAYNE MULCOCK

CRD# 1038001

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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

### LARRY WAYNE MULCOCK (CRD# 1038001)

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 **06/01/2016**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NIMBLE INVESTMENT ADVISORS LLC	CRD# 118343	07/08/2016

### 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	SENIOR ADVISORS LC	118343	WASHINGTON, UT	10/21/2010 - 12/31/2014
B	INTERMOUNTAIN FINANCIAL SERVICES, INC.	15386	SALT LAKE CITY, UT	08/08/2001 - 03/05/2010
IA	SENIOR ADVISORS FINANCIAL SERVICES, LC	118343	WASHINGTON, UT	03/26/1996 - 12/31/2007

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	2
Judgment/Lien	2



## 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: **NIMBLE INVESTMENT ADVISORS LLC**  
Main Address: WASHINGTON, UT  
Firm ID#: 118343

Regulator	Registration	Status	Date
<b>IA</b> Utah	Investment Adviser Representative	Approved	07/08/2016

#### Branch Office Locations

**NIMBLE INVESTMENT ADVISORS LLC**  
WASHINGTON, UT



## 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 4 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	Registered Options Principal Examination (S4)	Series 4	09/23/1987
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/03/1987
	General Securities Principal Examination (S24)	Series 24	08/23/1984
	Direct Participation Programs Principal Examination (S39)	Series 39	11/16/1983

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7)	Series 7	03/20/1982

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/14/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/18/1982

### 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	10/21/2010 - 12/31/2014	SENIOR ADVISORS LC	CRD# 118343	WASHINGTON, UT
B	08/08/2001 - 03/05/2010	INTERMOUNTAIN FINANCIAL SERVICES, INC.	CRD# 15386	SALT LAKE CITY, UT
IA	03/26/1996 - 12/31/2007	SENIOR ADVISORS FINANCIAL SERVICES, LC	CRD# 118343	WASHINGTON, UT
IA	03/26/1996 - 12/31/2004	SENIOR ADVISORS FINANCIAL SERVICES, LC	CRD# 118343	SALT LAKE CITY, UT
B	07/01/1999 - 07/18/2001	WELLS FARGO VAN KASPER, LLC	CRD# 7665	SAN FRANCISCO, CA
B	07/01/1999 - 07/01/1999	FIRST SECURITY INVESTOR SERVICES, INC.	CRD# 15515	SALT LAKE CITY, UT
B	08/15/1997 - 05/27/1999	INTERMOUNTAIN FINANCIAL SERVICES, INC.	CRD# 15386	HEBER CITY, UT
B	10/20/1995 - 04/25/1996	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	GREENWOOD VILLAGE
B	01/28/1991 - 10/24/1995	EXCEL FINANCIAL, INC.	CRD# 16878	SOUTH JORDAN, UT
B	03/30/1987 - 07/09/1990	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI
B	06/19/1986 - 02/11/1987	COOPERATIVE FINANCIAL PLANNERS, LTD.	CRD# 16891	
B	06/18/1985 - 02/11/1987	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	
B	12/14/1983 - 06/24/1985	SOUTHMARK FINANCIAL SERVICES, INC.	CRD# 6518	
B	06/15/1983 - 03/27/1984	S.N.I. SECURITIES, INC.	CRD# 10090	
B	05/07/1982 - 11/16/1982	MOUNTAIN STATES VENTURE CAPITAL CORPORATION	CRD# 8216	



## Registration & Employment History

### 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
11/2015 - Present	Nimble Investment Advisors LLC	Manager/Owner, Principal, Investment Advisor Rep	Y	Salt Lake City, UT, United States
10/2013 - Present	Advanced IRA LLC	Manager/Owner	N	Salt Lake City, UT, United States
06/2004 - Present	AFFORDABLE LEGAL DOCUMENTS, LLC	OWNER/MANAGER	N	SALT LAKE CITY, UT, United States
06/1995 - Present	LARRY MULCOCK REAL ESTATE, LLC	OWNER/MANAGER	N	SALT LAKE CITY, UT, United States
03/1984 - Present	FINANCIAL PLANNER	FINANCIAL PLANNER	N	SALT LAKE CITY, UT, United States
10/1982 - Present	SELF EMPLOYED	OTHER - REAL ESTATE BROKER	N	SALT LAKE CITY, UT, 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.

(21) MR. MULCOCK IS A PRINCIPAL REAL ESTATE BROKER LICENSED IN UTAH. MR. MULCOCK AN INSURANCE AGENT LICENSED IN UTAH FOR THE SALE OF LIFE AND HEALTH INSURANCE, PROPERTY AND CASUALTY  
 Mr. Mulcock is an Insurance Consultant in Utah

(9B) MR. MULCOCK IS A INVESTMENT ADVISOR REPRESENTIVE and Principal OF Nimble Investment Advisors LLC, A UTAH REGISTERED INVESTMENT ADVISER WHICH IS 99% OWNED BY MR. MULCOCK.  
 Mr. Mulcock is a the manager/owner of Advanced IRA LLC which helps clients set up self-directed IRA LLCs. AFFORDABLE LEGAL DOCUMENTS, LLC IS A DOCUMENT PREPARATION COMPANY WHICH IS 50% OWNED BY MR. MULCOCK.  
 MR. MULCOCK IS A FINANCIAL PLANNER.



## 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	2
Judgment/Lien	2

### 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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UTAH SECURITIES DIVISION
<b>Sanction(s) Sought:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	10/05/2011
<b>Docket/Case Number:</b>	SD-11-0081
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	SENIOR ADVISORS LC, IARD#118343
<b>Product Type:</b>	No Product
<b>Allegations:</b>	THE DIVISION ALLEGED THAT MULCOCK VIOLATED SECTION 61-1-3(3) OF THE UTAH UNIFORM SECURITIES ACT BY ACTING AS AN INVESTMENT ADVISER REPRESENTATIVE WHILE UNLICENSED.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No



<b>Resolution Date:</b>	01/26/2012
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$10,000.00
<b>Portion Levied against individual:</b>	\$10,000.00
<b>Payment Plan:</b>	FINE SHALL BE PAID WITHIN 2 YEARS OF ENTRY OF ORDER.
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Regulator Statement</b>	A PDF COPY OF THE PETITION CAN BE VIEWED ONLINE AT: <a href="http://SECURITIES.UTAH.GOV/DOCKETS/11008101.PDF">HTTP://SECURITIES.UTAH.GOV/DOCKETS/11008101.PDF</a> (NOTE: THE WEB ADDRESS MUST BE ENTERED IN ALL LOWER CASE LETTERS). A PDF COPY OF THE STIPULATION AND CONSENT ORDER CAN BE VIEWED ONLINE AT: <a href="http://SECURITIES.UTAH.GOV/DOCKETS/11008102.PDF">HTTP://SECURITIES.UTAH.GOV/DOCKETS/11008102.PDF</a> (NOTE: THE WEB ADDRESS MUST BE ENTERED IN ALL LOWER CASE LETTERS).
<b>Disclosure 2 of 2</b>	
<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UTAH DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	11/02/1994
<b>Docket/Case Number:</b>	EN-01555-19
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ASSET INVESTMENT METHODS
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	RESPONDENT SHARED INVESTMENT ADVISORY FEES PAID BY ASSET INVESTMENT METHODS WHILE RESPONDENT WAS NOT PROPERLY LICENSED WITH THE DIVISION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	11/03/1994



<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Monetary/Fine \$500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	FINE OF \$500.00 AND ORDERED TO CEASE AND DESIST FROM FURTHER VIOLATIONS OF LAWS ENFORCED BY THE DIVISION.
<b>Regulator Statement</b>	RESPONDENT SHARED INVESTMENT ADVISORY FEES PAID BY ASSET INVESTMENT METHODS WHILE RESPONDENT WAS NOT PROPERLY LICENSED WITH THE DIVISION. FOR MORE INFORMATION, PLEASE VISIT THE WEB SITE: <a href="http://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=EN%2D01555%D19">HTTP://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=EN%2D01555%D19</a>
.....	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF UTAH, DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	08/24/1994
<b>Docket/Case Number:</b>	940002
<b>Employing firm when activity occurred which led to the regulatory action:</b>	EXCES FINANCIAL INC
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	DURING THE PERIOD OF MAHY 1992 THROUGH APRIL 1993 I COLLECTED A TOTAL OF \$11,5 78.80 FROM DAVID T. GREEN OF ASSET INVESTMENT METHODS (AIM), BUT WAS NOT PROPERLY LICENSED WITH THE DIVISION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	11/02/1994
<b>Sanctions Ordered:</b>	Monetary/Fine \$500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	STIPULATION AGREEMENT AND CONSENT ORDER. \$500 FINE
<b>Broker Statement</b>	AT THE TIME OF MY REGISTRATION WITH EXCEL FINANCIAL, INC., THE SECURITIES LAWS OF THE STATE OF UTAH DID NOT REQUIRE A BROKER/DEALER TO REGISTER SEPERATELY AS AN INVESTMENT ADVISOR AND REGISTERED REPS UNDER THE B/D WERE NOT REQUIRED TO REGISTER. I CONFIRMED THIS AT THE TIME OF REGISTRATION AND ON SEVERAL OCCASIONS SUBSEQUENT. SOME TIME LATER, THE SECURITIES RULES WERE CHANGED TO REQUIRE SEPERATE RIA REGISTRATION. EXCEL WAS NOT AWARE OF THE CHANGE AND CONTINUED TO CONFIRM TO ME MY COMPLIANCE. WHEN I DISCOVERED THE



PROBLEM, I ACTED DECISIVELY TO CORRECT IT AND HAVE REMAINED IN FULL COMPLIANCE SINCE.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** Dee Hansen  
**Judgment/Lien Amount:** \$1,946.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 03/18/2010  
**Date Individual Learned:** 06/01/2010  
**Type of Court:** City Court  
**Name of Court:** Salt Lake City District Court  
**Location of Court:** Salt Lake County, Utah  
**Docket/Case #:** 100900024  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Current on payment arrangements.

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** America First Credit Union  
**Judgment/Lien Amount:** \$17,757.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 03/24/2011  
**Date Individual Learned:** 06/01/2011  
**Type of Court:** City Court  
**Name of Court:** Salt Lake City District  
**Location of Court:** Salt Lake County, Utah  
**Docket/Case #:** 110925763  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Current on payment arrangements



## End of Report

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