



IAPD Report

CARLTON CASE ELLIS

CRD# 1371058

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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

CARLTON CASE ELLIS (CRD# 1371058)

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 **04/20/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|----------------|-------------|------------------|
| IA | CHIMERA WEALTH | CRD# 311674 | 11/13/2024 |

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 | NOBLES & RICHARDS ADVISORS, LLC | 281539 | Renton, WA | 05/02/2024 - 03/26/2025 |
| B | NOBLES & RICHARDS, INC. | 146870 | PLANO, TX | 12/09/2021 - 02/12/2025 |
| B | LANDOLT SECURITIES, INC. | 28352 | ANTIOCH, IL | 11/20/2018 - 12/09/2019 |

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 |
| Customer Dispute | 1 |
| 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: **CHIMERA WEALTH**
Main Address: PACIFIC GROVE, CA
Firm ID#: 311674

| Regulator | Registration | Status | Date |
|----------------------|-----------------------------------|----------|------------|
| IA Washington | Investment Adviser Representative | Approved | 11/13/2024 |

Branch Office Locations

CHIMERA WEALTH
Renton, WA




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 |
|---|--|-----------|------------|
|  | General Securities Principal Examination (S24) | Series 24 | 10/04/1996 |

General Industry/Product Exams

| | Exam | Category | Date |
|---|--|------------|------------|
|  | Investment Company Products/Variable Contracts Representative Examination (S6TO) | Series 6TO | 01/02/2023 |
|  | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  | Futures Managed Funds Examination (S31) | Series 31 | 09/30/2002 |
|  | General Securities Representative Examination (S7) | Series 7 | 09/02/1999 |

State Securities Law Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
|  | Uniform Investment Adviser Law Examination (S65) | Series 65 | 06/12/2024 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/09/1985 |

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 | 05/02/2024 - 03/26/2025 | NOBLES & RICHARDS ADVISORS, LLC | CRD# 281539 | Renton, WA |
| B | 12/09/2021 - 02/12/2025 | NOBLES & RICHARDS, INC. | CRD# 146870 | PLANO, TX |
| B | 11/20/2018 - 12/09/2019 | LANDOLT SECURITIES, INC. | CRD# 28352 | ANTIOCH, IL |
| B | 02/06/2013 - 10/10/2018 | LANDOLT SECURITIES, INC. | CRD# 28352 | ANTIOCH, IL |
| B | 11/25/2013 - 04/15/2014 | NEWPORT COAST SECURITIES, INC. | CRD# 16944 | NEW YORK, NY |
| B | 05/14/2012 - 12/31/2012 | DIMIRAK SECURITIES CORPORATION | CRD# 150181 | VISTA, CA |
| B | 12/12/2008 - 05/24/2010 | INDEPENDENT FINANCIAL GROUP, LLC | CRD# 7717 | CAMARILLO, CA |
| IA | 12/12/2008 - 05/24/2010 | INDEPENDENT FINANCIAL GROUP, LLC | CRD# 7717 | CAMARILLO, CA |
| B | 06/25/2009 - 02/04/2010 | NGAS SECURITIES, INC. | CRD# 131510 | HOUSTON, TX |
| IA | 06/29/2007 - 12/11/2008 | EPLANNING ADVISORS INC | CRD# 109184 | ROSEVILLE, CA |
| B | 06/29/2007 - 12/11/2008 | EPLANNING SECURITIES, INC. | CRD# 46000 | MERCER ISLAND, WA |
| IA | 03/01/2000 - 06/29/2007 | BROOKSTREET CAPITAL MANAGEMENT | CRD# 14667 | MERCER ISLAND, WA |
| B | 12/03/1996 - 06/29/2007 | BROOKSTREET SECURITIES CORPORATION | CRD# 14667 | MERCER ISLAND, WA |
| B | 05/24/1996 - 11/18/1996 | PROGRESSIVE ASSET MANAGEMENT, INC. | CRD# 20633 | SAN RAFAEL, CA |
| B | 06/19/1985 - 06/10/1996 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |



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 |
|-------------------|--------------------------|-----------------------------------|--------------------|-----------------------------|
| 07/2024 - Present | CHIMERA WEALTH LLC | Investment Adviser Representative | Y | Renton, WA, United States |
| 12/2021 - Present | Nobles and Richards, Inc | Registered Representative | Y | Plano, TX, United States |
| 12/2019 - 12/2021 | Unemployed | Unemployed | N | Renton, WA, United States |
| 12/2019 - 11/2021 | In House Hemp LLC | CFO | N | Renton, WA, United States |
| 02/2013 - 12/2019 | LANDOLT SECURITIES, INC | REGISTERED REPRESENTATIVE | Y | OSH KOSH, WI, 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.

Chimera Wealth, LLC/6650 Fair Oaks Boulevard#155, Carmichael, CA 95608/Start Oct 2024/Investment Related/Nature: Wealth Management - Financial Planning, Investment Management, etc./Independent Contractor/Financial Advisor: Servicing Advisor, client relationship experience. Chimera Wealth will primarily handle the financial planning and investment portfolios/25-40 hours per month/10-15 hours during trading hours per month/Duties: Relationship building with prospective and current clients of Chimera Wealth



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 |
| Customer Dispute | 1 |
| Termination | 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: NASD

Sanction(s) Sought:

Date Initiated: 03/23/1998

Docket/Case Number: C3B980006

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

Product Type:

Allegations: COMPLAINT NO. C3B980006 FILED MARCH 23, 1998 BY DISTRICT NO. 3 AGAINST RESPONDENT CARLTON CASE ELLIS ALLEGING VIOLATIONS OF NASD RULES 2110 AND 3040 IN THAT HE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS; AND, WHILE REGISTERED THROUGH A MEMBER FIRM, RECEIVED A LETTER FROM A TRUSTEE WHICH SOUGHT AN AGREEMENT BY THE FIRM'S CLEARING BROKER/DEALER, OF A PARTICULAR UNDERTAKING IN CONNECTION WITH AN INVESTMENT CONTEMPLATED BY THE TRUST, AND IN CONNECTION WITH THAT LETTER, SIGNED THE AGREEMENT AS AGENT FOR HIS MEMBER FIRM'S CLEARING BROKER/DEALER, WITHOUT AUTHORIZATION FROM THE BROKER/DEALER TO DO SO.

Current Status: Final

Resolution: Decision



Resolution Date: 12/14/1998

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines
Requalification
Suspension
Other: REQUALIFICATION

Regulator Statement DECISION RENDERED OCTOBER 30, 1998, WHEREIN RESPONDENT ELLIS IS CENSURED, FINED \$25,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS, REQUIRED TO REQUALIFY BY EXAMINATION BEFORE ACTING IN ANY CAPACITY REQUIRING QUALIFICATION, AND ASSESSED COSTS IN THE AMOUNT OF \$2,075.60. DECISION BECAME FINAL DECEMBER 14, 1998. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON FEBRUARY 16, 1999, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS AUGUST 13, 1999. FINE PAID 10/02/2000.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 03/23/1998

Docket/Case Number: C3B980006

Employing firm when activity occurred which led to the regulatory action: PROGRESSIVE ASSET MANAGEMENT

Product Type: Money Market Fund(s)

Other Product Type(s):

Allegations: ALLEGED VIOLATION OF RULES 3040 AND 2110 BY PARTICIPATING IN PRIVATE SECURITIES TRANSACTIONS. ALLEGED "SELLING AWAY" WITHOUT NOTICE TO EMPLOYER PROGRESSIVE ASSET.

Current Status: Final

Resolution: Other

Resolution Date: 10/30/1998

Sanctions Ordered: Censure
Monetary/Fine \$25,000.00
Suspension

Other Sanctions Ordered: REQUIRED TO REQUALIFY FOR SERIES 7 EXAM

Sanction Details: SUSPENSION WAS FROM 2-1999 TO 8-1999, SIX MONTHS. I RECEIVED A FINE OF \$25,000. WHICH IS BEING PAID WITH 25% DOWN, \$945 A MONTH FOR 2 YEARS STARTING ON 1-25-99. MUST REQUALIFY FOR EXAMS. PRESENTLY ATTENDING A SERIES 7 REVIEW 8-16 TO 8-20 WILL RETAKE THE SERIES 7 ON 9-1-99.

Broker Statement AFTER COOPERATING WITH ALL FEDERAL GOVERNMENT AND NASD REGULATORY BODIES-I DECIDED TO SETTLE AND MOVE ON TO



REQUALIFY RATHER THAN CONTINUE TO SPEND THOUSANDS IN LEGAL FEE'S. I SPENT OVER 3 YEARS FIGHTING THIS.

I HAVE TAKEN THE SANCTION, AM REPAYING THE FINE, AND WILL REQUALIFY.MY PAST RECORD OVER THE LAST 14 YEARS PREVIOUS TO THIS HAS BEEN SPOTLESS, SO I OPTED TO ACCEPT THE SANCTION,FINES ETC. IN ORDER TO MOVE FORWARD.



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: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: STATE COURT ACTION SEEKING \$237,000+FOR FRAUDULENT INDUCEMENT TO INVEST \$350,000 IN HIGH YIELD INVESTMENT PROGRAM THROUGH EME FUNDING INC., MUTUAL WEST FINANCIAL, PROGRESSIVE ASSET MANAGEMENT, AND OTHERS.

Product Type:

Alleged Damages: \$278,465.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 05/18/1999

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIRCUIT; LANE COUNTY, OR; 16-98-18318

Date Notice/Process Served: 10/19/1998

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1999

Monetary Compensation Amount: \$13,500.00

Individual Contribution Amount:

Firm Statement SETTLED FOR \$13,500.00.
N/A

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PROGRESSIVE ASSET MANAGEMENT



Allegations: CUSTOMER CLAIMS DAMAGES OF \$278,465. AS A RESULT OF ALLEGED FRAUDULENT INDUCEMENT BY OUTSIDE INVESTMENT MANAGERS, INCLUDING EME FIDUCIARY CORP, MUTUAL WEST FINANCIAL, PROGRESSIVE ASSET MANAGEMENT, MYSELF AS A REPRESENTATIVE OF PROGRESS ASSET MANAGEMENT, AND PRUDENTIAL SECURITIES.

Product Type: Money Market Fund(s)

Alleged Damages: \$278,465.00

Customer Complaint Information

Date Complaint Received: 11/05/1998

Complaint Pending? No

Status: Litigation

Status Date: 05/18/1999

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIVIL LITIGATION FILED IN THE CIRCUIT COURT OF THE STATE OF OREGON FOR LANE COUNTY. 16-98-18318.

Date Notice/Process Served: 11/05/1998

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1999

Monetary Compensation Amount: \$13,500.00

Individual Contribution Amount: \$0.00

Broker Statement CIVIL LITIGATION IS RELATED TO ELLIS'S REASON FOR SANCTIONS, TAKEN CARE OF WITH NASD.



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

| | |
|-----------------------------|---|
| Reporting Source: | Individual |
| Firm Name: | PROGRESSIVE ASSET MANAGEMENT, INC. |
| Termination Type: | Discharged |
| Termination Date: | 11/12/1996 |
| Allegations: | ALLEGED THAT INDIVIDUAL SIGNED A LETTER ON BEHALF OF ANOTHER MEMBER FIRM WITH WHOM HE WAS NOT ASSOCIATED WITH AND WITHOUT THEIR PRIOR KNOWLEGE OR CONSENT TO THAT MEMBER FIRM. |
| Product Type: | No Product |
| Other Product Types: | |
| Broker Statement | CLIENT WAS AN ATTORNEY. THE CLIENT ASKED ME TO SIGN LETTER STATING I UNDERSTOOD WHAT TRANSACTIONS WOULD OR COULD TAKE PLACE WHILE CLIENT WAS AWAY ON VACATION. I SIGNED, NOT PAYING CLOSE ATTENTION TO THE FIRM NAME THE CLIENT HAD PUT ON THE LETTER. THE CLIENT FILED NO COMPLAINT LETTER OR ACTION. |



End of Report

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