



IAPD Report

SCOTT IRVIN COLYER

CRD# 1455160

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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

SCOTT IRVIN COLYER (CRD# 1455160)

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 **05/19/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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
	ADVISORS ASSET MANAGEMENT, INC.	46727	BOERNE, TX	08/06/2002 - 05/18/2026

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	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 not currently registered as an Investment Adviser Representative.



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	11/03/2003
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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	08/06/2002 - 05/18/2026	ADVISORS ASSET MANAGEMENT, INC.	CRD# 46727	BOERNE, 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
05/2026 - Present	RETIRED	RETIRED	N	BOERNE, TX, United States
05/2025 - 05/2026	ADVISORS ASSET MANAGEMENT, INC	CONSULTANT	Y	MONUMENT, CO, United States
10/2001 - 05/2025	ADVISORS ASSET MANAGEMENT, INC	CHIEF EXECUTIVE OFFICER	Y	MONUMENT, CO, 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.

1) Name: T&CM Trust Address: 6110 Garlock Way Colorado Springs Title: Trustee time: 3-7 hours per month. Named as Trustee in testamentary trust. The trustee does not have officers or directors but I will serve as sole trustee. not securities investment related. 2) Name: S&LC Family LLC Title: Manager Time: 15-20 hours per month. not securities investment related however we do manage the securities and other property of the family LLC. 3) Name: S&LC Family LLC Address: 135 Mark Twain and 28595 IH10W, Boerne, TX 78006 Title: Managing member Start: 10/30/24 Time: 10 hours per week. As a manager with Lisa Colyer of S&LC Family LLC, the family company has endeavored to boost its investment in classic and collector automobiles. The company purchases and sells automobiles for the LLC's collection under the d/b/a of Promontory Car Collectors. We have hired a total of four employees that work for the LLC. Two of the four were employed as caretakers of our property and two are family members. Their job is to care for the collection of cars and other LLC property. I spend roughly 10 hours per week on this activity. Lisa and I are not paid any additional compensation for this expansion of our prior activities with S&LC Family LLC. This is merely an expansion of the activity. not securities investment related



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	2

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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES

Allegations: CUSTOMERS THROUGH THEIR LAWYER ALLEGED AN UNAUTHORIZED SALE OF 8% FNMA REMIC AND UNAUTHORIZED REPLACEMENT WITH A 6.5% ISSUE IN 1994.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/01/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$17,500.00

Individual Contribution Amount:

Firm Statement SETTLED FOR \$17,500. F.A. INSISTS THAT HE FOLLOWED THE CUSTOMERS INSTRUCTIONS AT ALL TIMES.
Not Provided



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES
Allegations: UNAUTHORIZED TRADE; DAMAGE ALLEGATIONS UNKNOWN BUT ARE THOUGHT TO INCLUDE LOSS OF FUTURE INTEREST, MENTAL ANGUISH, TRAVEL EXPENSES

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/01/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$17,500.00

Individual Contribution Amount:

Broker Statement

PRUDENTIAL SECURITIES SETTLED CLAIM FOR \$17,500.00. THERE HAS BEEN NO ACTION ON BEHALF OF PRUDENTIAL SECURITIES OR ANY REGULATORY AGENCY OTHER THAN INQUIRY ON THIS MATTER. THE DECISION TO SETTLE WAS MADE BY PRUDENTIAL SECURITIES UNDER PROTEST BY ME. CATEGORICALLY I DENY ANY AND ALL ALLEGATION THAT ANY TRADE WAS EXECUTED WITHOUT CLIENT AUTHORIZATION. CLIENTS WERE FOREIGN NATIONALS TRAVELING ABROAD RESIDING PERMANENTLY IN SPAIN. THE [CUSTOMER] ACCOUNT WAS SET UP WITH ONE 50,000 PURCHASE OF 8% FNMA REMIC BONDS PURCHASED AT A DISCOUNT TO PAR. I HAD INSTRUCTIONS TO SEND THE INTEREST PAYMENTS MONTHLY TO A LOCAL BANK AND [CUSTOMER] DREW THE INTEREST BY CHECK MONTHLY TO WHEREVER THEY TRAVELED. [CUSTOMER] UNDERSTOOD THAT THE BONDS WERE CALLABLE AT PAR ANY MONTH. I RECEIVED SPECIFIC INSTRUCTIONS TO KEEP

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations:

Product Type:

Alleged Damages: \$138,100.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00691

Date Notice/Process Served: 01/17/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/23/1992

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES MISREPRESENTATION, FAILURE TO FOLLOW CLIENT INVESTMENT INSTRUCTIONS REGARDING MUNICIPAL BONDS AND UNSUITABLE MARGIN TRADING. CLIENT ALLEGES DAMAGES OF \$138,100.00. THE TRANSACTIONS IN QUESTION INVOLVE MUNICIPAL BONDS.

Product Type:

Alleged Damages: \$138,100.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00691



Date Notice/Process Served: 01/17/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/23/1992

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount:

Broker Statement SETTLED FOR PAYMENT OF \$50,000 PAYABLE TO [CUSTOMER].
CUSTOMER AGREED TO RETURN ZERO COUPON BONDS
WITH A FACE VALUE OF \$285,000 AS PART OF THE SETTLEMENT.
NOT PROVIDED



End of Report

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