



IAPD Report

CAROLYN SHIRLEY BISHOP

CRD# 1628197

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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

CAROLYN SHIRLEY BISHOP (CRD# 1628197)

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 **11/03/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CREATIVEONE WEALTH, LLC	CRD# 281213	11/02/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
B	SORRENTO PACIFIC FINANCIAL, LLC	127787	OXNARD, CA	07/31/2009 - 07/13/2021
IA	PARTNERVEST ADVISORY SERVICES LLC	113621	OXNARD, CA	12/02/2003 - 11/05/2020
B	PARTNERVEST SECURITIES, INC.	104134	OXNARD, CA	07/30/2002 - 07/31/2009

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	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CREATIVEONE WEALTH, LLC**
Main Address: 6330 SPRINT PKWY
SUITE 400
OVERLAND PARK, KS 66211
Firm ID#: 281213

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	11/03/2020
	Texas	Investment Adviser Representative	Approved	11/02/2020

Branch Office Locations

CREATIVEONE WEALTH, LLC
300 E. Esplanade Drive
9th Floor
Oxnard, CA 93036



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	02/21/1987
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/1995
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/25/1990
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/31/2009 - 07/13/2021	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	OXNARD, CA
IA	12/02/2003 - 11/05/2020	PARTNERVEST ADVISORY SERVICES LLC	CRD# 113621	OXNARD, CA
B	07/30/2002 - 07/31/2009	PARTNERVEST SECURITIES, INC.	CRD# 104134	OXNARD, CA
IA	08/19/2002 - 12/02/2003	PARTNERVEST ADVISORY SERVICES LLC	CRD# 113621	SANTA BARBARA, CA
IA	04/17/1995 - 01/18/2003	OMNI FINANCIAL ADVISORY SERVICES	CRD# 114326	OXNARD, CA
IA	01/12/1998 - 12/31/2002	HERITAGE CAPITAL MANAGEMENT INC	CRD# 110383	SANTA BARBARA, CA
B	02/24/1987 - 07/29/2002	LONG GROVE TRADING CO.	CRD# 10078	BOSTON, MA

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
10/2020 - Present	ChangePath, LLC	Investment Adviser Representative	Y	Leawood, KS, United States
07/2009 - 07/2021	SORRENTO PACIFIC FINANCIAL, LLC	Mass Transfer	Y	OXNARD, CA, United States
08/2002 - 10/2020	PARTNERVEST ADVISORY SERVICES LLC	DIRECTOR OF FINANCIAL PLANNING	Y	SANTA BARBARA, CA, United States
07/2002 - 10/2020	PARTNERVEST FINANCIAL GROUP LLC	DIRECTOR OF FINANCIAL PLANNING	Y	SANTA BARBARA, CA, United States



Registration & Employment History



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.

NAME OF THE OTHER BUSINESS: ELEK REVOCABLE TRUST
INVESTMENT-RELATED: NO
ADDRESS OF THE OTHER BUSINESS: 2330 DIAMOND HEAD WAY, OXNARD, CA 93036
YOUR POSITION OR TITLE: SUCCESSOR TRUSTEE
NATURE OF THE OTHER BUSINESS: TRUST
START DATE: NONE, ACT ONLY UPON THE DEATH OR INABILITY OF CURRENT TRUSTEE
APPROXIMATE NUMBER OF HOURS/MONTH: 0
APPROXIMATE NUMBER OF HOURS DURING TRADING HOURS: 0
BRIEFLY DESCRIBE YOUR DUTIES RELATING TO THE OTHER BUSINESS: MANAGING DIRECTIVES OF THE TRUST
COMPENSATION: NO

NAME OF THE OTHER BUSINESS: UNUM PROVIDENT DISABILITY INSURANCE
INVESTMENT-RELATED: YES
ADDRESS OF THE OTHER BUSINESS: 2330 DIAMOND HEAD WAY, OXNARD, CA 93036
YOUR POSITION OR TITLE: EMPLOYEE
NATURE OF THE OTHER BUSINESS: INSURANCE
START DATE: 08/03/2009
APPROXIMATE NUMBER OF HOURS/MONTH:
APPROXIMATE NUMBER OF HOURS DURING TRADING HOURS:
BRIEFLY DESCRIBE YOUR DUTIES RELATING TO THE OTHER BUSINESS: RECEIVE DISABILITY INSURANCE
RESIDUALS. SERVICE AND SALE OF DISABILITY INSURANCE
COMPENSATION: YES

NAME OF THE OTHER BUSINESS: BLUE SHIELD
INVESTMENT-RELATED: YES
ADDRESS OF THE OTHER BUSINESS: 2330 DIAMOND HEAD WAY, OXNARD, CA 93036
YOUR POSITION OR TITLE: AGENT
NATURE OF THE OTHER BUSINESS: INSURANCE
START DATE: 08/03/2009
APPROXIMATE NUMBER OF HOURS/MONTH: 1/2
APPROXIMATE NUMBER OF HOURS DURING TRADING HOURS: 1/2
BRIEFLY DESCRIBE YOUR DUTIES RELATING TO THE OTHER BUSINESS: SERVICE AND SALE OF HEALTH INSURANCE
COMPENSATION: YES

NAME OF THE OTHER BUSINESS: INSURANCE
INVESTMENT-RELATED: YES
ADDRESS OF THE OTHER BUSINESS: 2330 DIAMOND HEAD WAY, OXNARD, CA 93036
YOUR POSITION OR TITLE: INSURANCE AGENT
NATURE OF THE OTHER BUSINESS: INVESTMENT INSURANCE
START DATE: 08/03/2009
APPROXIMATE NUMBER OF HOURS/MONTH: 5
APPROXIMATE NUMBER OF HOURS DURING TRADING HOURS: 5
BRIEFLY DESCRIBE YOUR DUTIES RELATING TO THE OTHER BUSINESS: SALES OF FIXED, INDEX, LIFE, HEALTH, P&C
INSURANCE PRODUCTS
COMPENSATION: YES



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	1

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: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; OTHER

Product Type:

Alleged Damages: \$85,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-02708](#)

Date Notice/Process Served: 10/04/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 12/18/1992

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$75,025.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$24,228.00 JOINTLY AND SEVERALL



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LONG GROVE TRADING CO.
Allegations:	ALLEGED BREACH OF CONTRACT, VIOLATION OF SECTION 10B OF THE SECURITIES EXCHANGE ACT OF 1934, & RULE 10B-5 PROMULGATED THEREUNDER, UNSUITABLE RECOMMENDATIONS, MISREPRESENTATIONS & OMISSIONS, BREACH OF FIDUCIARY DUTY, AIDING & ABETTING, RESPONDENT SUPERIOR, VIOLATION OF SECTION 20 OF THE EXCHANGE ACT OF 1934, VIOLATION OF SECTION 12 OF THE ILLINOIS SECURITIES LAW OF 1953, & VIOLATIONS OF SECTIONS 451.601 OF THE MICHIGAN COMP. LAWS (1989). ALLEGED DAMAGES OF AT LEAST \$85,000, PLUS INTEREST, COST OF ARBITRATION OR RECISSION OF TRANSACTIONS/INVESTMENTS.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	\$85,000.00
Customer Complaint Information	
Date Complaint Received:	08/28/1991
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/22/1992
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-02708
Date Notice/Process Served:	10/04/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/18/1992
Monetary Compensation Amount:	\$99,253.00
Individual Contribution Amount:	
Broker Statement	TRANSACTIONS/INVESTMENTS ORDERED TO BE RESCINDED. LONG GROVE TRADING COMPANY & CAROLYN S. BISHOP JOINTLY AND SEVERALLY LIABLE FOR THE SUM OF \$75,025 UPON TRANSFER OF THE RIGHT, TITLE AND INTEREST IN TRANSACTIONS RESCINDED. LONG GROVE TRADING COMPANY & CAROLYN S. BISHOP JOINTLY AND SEVERALLY LIABLE FOR SUM OF \$24,228.05 FOR ATTORNEY'S FEES AND COSTS.



End of Report

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