IAPD Report

THOMAS BASTIANO SCARPACI JR

CRD# 1634140

Section Title	Page(s)

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

THOMAS BASTIANO SCARPACI JR (CRD# 1634140)

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 **10/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CREATIVEONE SECURITIES, LLC	CRD# 152974	01/21/2017
IA	CREATIVEONE SECURITIES, LLC	CRD# 152974	01/13/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	CLIENT ONE SECURITIES LLC	152974	STATEN ISLAND, NY	11/19/2019 - 12/31/2021
IA	IC ADVISORY SERVICES, INC.	140190	STATEN ISLAND, NY	02/23/2016 - 12/31/2016
B	THE INVESTMENT CENTER, INC.	17839	STATEN ISLAND, NY	11/30/2007 - 12/31/2016

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 currently registered with **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CREATIVEONE SECURITIES, LLC**

Main Address: 6330 SPRINT PARKWAY, SUITE 400
OVERLAND PARK, KS 66211

Firm ID#: 152974

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/21/2017
B	FINRA	General Securities Representative	Approved	01/21/2017
B	California	Agent	Approved	01/06/2023
B	Florida	Agent	Approved	01/21/2017
B	Missouri	Agent	Approved	09/07/2022
B	New Jersey	Agent	Approved	01/21/2017
B	New Mexico	Agent	Approved	10/09/2025
B	New York	Agent	Approved	01/21/2017
IA	New York	Investment Adviser Representative	Approved	01/13/2022
B	North Carolina	Agent	Approved	01/02/2025

Branch Office Locations

CREATIVEONE SECURITIES, LLC
2078 Richmond Ave
Staten Island, NY 10314

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/02/1998
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/05/1991

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/25/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/19/2016
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/03/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/19/2019 - 12/31/2021	CLIENT ONE SECURITIES LLC	CRD# 152974	STATEN ISLAND, NY
IA	02/23/2016 - 12/31/2016	IC ADVISORY SERVICES, INC.	CRD# 140190	STATEN ISLAND, NY
B	11/30/2007 - 12/31/2016	THE INVESTMENT CENTER, INC.	CRD# 17839	STATEN ISLAND, NY
B	08/18/2000 - 12/20/2007	PRIME CAPITAL SERVICES, INC.	CRD# 18334	STATEN ISLAND, NY
B	01/30/1998 - 09/01/2000	THE INVESTMENT CENTER, INC.	CRD# 17839	BEDMINSTER, NJ
B	09/26/1997 - 02/18/1998	ROYAL HUTTON SECURITIES CORP.	CRD# 14489	NEW YORK, NY
B	08/27/1994 - 09/09/1997	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	08/27/1994 - 09/09/1997	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	07/10/1991 - 07/30/1994	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	09/14/1987 - 07/23/1991	LEGEND CAPITAL CORPORATION	CRD# 4149	
B	04/29/1987 - 07/23/1991	LEGEND CAPITAL CORPORATION	CRD# 4149	PALM BEACH GARDEN!
B	05/08/1987 - 08/31/1987	STEINBERG & LYMAN	CRD# 15704	

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
01/2017 - Present	CLIENT ONE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	STATEN ISLAND, NY, United States
02/2016 - 12/2016	IC ADVISORY SERVICES INC.	REGISTERED REP	Y	STATEN ISLAND, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2007 - 12/2016	THE INVESTMENT CENTER, INC.	REGISTERED REP	Y	STATEN ISLAND, NY, 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. ENERGY SOLUTIONS GROUP, INC. ENERGY CONSERVATION CONSULTING. OFFICER CONSULTING AND PROJECT DESIGN. OWN >60% STOCK. DEVOTE 20 HRS/MO. FINANCIAL INTEREST $50,000.ESTABLISHED 12/11/1999. AMENDING NAME AS THE CHANGE WAS DUE OF BEING NOTIFIED OF AN ALREADY EXISTING BUSINESS USING THE NAME AMERICAN ENERGY SOLUTIONS.CREATED 09/13 AND WILL BE THE ONLY NAME USED GOING FORWARD. ANNUAL INCOME 21-40%.

2. FINANCIAL SOLUTIONS GROUP, LLC FINANCIAL PLANNING, PARTNER. ACCOUNT REP. DEVOTE 40HRS/WK+. FINANCIAL INTEREST $50,000. OWN 331/3%. COMPENSATION IS COMMISSIONS. ESTABLISHED 01/01/2007.

3. Captive Solutions LLC; Consultant; recommends the use of purpose-built (captive) insurance subsidiaries to protect and grow business value for profitable enterprises with predictable risk profiles; 25% ownership; 20-30 hours/month; estimated income: 100K

4. Tax Credit Genius LLC; not investment related; 2078 Richmond Ave Staten Island, NY 10314; payroll tax return preparation and filing; Partner; 04/2024; 20 hrs/mo; 20 hrs/mo

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: METLIFE

Allegations: CLIENT ALLEGES AN IMPROPER TRANSACTION IN HER ACCOUNT.

Product Type: Insurance

Alleged Damages: $235,000.00

Customer Complaint Information

Date Complaint Received: 03/11/1999

Complaint Pending? No

Status: Denied

Status Date: 02/04/2000

Settlement Amount:

Individual Contribution Amount:

Firm Statement AMERICAN SKANDIA STATES CLAIM WAS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE INVESTMENT CENTER.

Allegations: CLIENT ALLEGED AN IMPROPER TRANSACTION IN HER ACCOUNT

Product Type: Insurance

Alleged Damages: $235,000.00

Customer Complaint Information

Date Complaint Received: 03/11/1999

Complaint Pending? No

Status: Denied

Status Date: 02/04/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement CASE WAS DENIED BY THE INSURANCE CARRIER AND IS MERITLESS. THIS WAS REPORTED BY METLIFE ON AMENDED U-5

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: ROYAL HUTTON SECURITIES CORPORATION

Allegations: SUITABILITY; MISREPRESENTATION; CHURNING;
OMISSION OF FACTS

Product Type:

Alleged Damages: $142,122.73

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-01165

Date Notice/Process Served: 04/13/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/19/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
********CASE SETTLED*******

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROYAL HUTTON SECURITIES CORPORATION

Allegations: NASD CLAIM FOR RELIEF INDICATES THE FOLLOWING ALLEGATIONS: NEGLIGENCE, AZ. SECURITIES FRAUD, FEDERAL SECURITIES FRAUD, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT,
FRAUD, NEGLIGENT MISREPRESENTATION, FAILURE TO SUPERVISE,

	ALLEGED DAMAGES $142,122.73 & PUNITIVE DAMAGES OF $100,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	COMMON STOCK ONLY
Alleged Damages:	$142,122.73

Customer Complaint Information

Date Complaint Received:	03/18/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/19/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 98-01165
Date Notice/Process Served:	03/18/1998
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/19/1998
Monetary Compensation Amount:	$180,000.00
Individual Contribution Amount:	$0.00
Broker Statement	ROYAL HUTTON TO PAY $180,000. THE SETTLEMENT WAS AGREED TO ON MY BEHALF ONLY BECAUSE NOTHING WAS GUARANTEED BY ME PERSONALLY. I STRONGLY PROTESTED BECAUSE I HAD NO CONTACT W/ THESE CLIENTS AS MY CRD SHOWS THE ACCOUNTS WERE OPEN BEFORE I WAS REGISTERED AT THE FIRM. I WAS WRONGLY NAMED IN THIS COMPLAINT.

End of Report

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