



IAPD Report

WILLIAM MATTHEW LEISMAN

CRD# 2113061

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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

WILLIAM MATTHEW LEISMAN (CRD# 2113061)

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 **01/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LANDOLT SECURITIES, INC.	CRD# 28352	11/10/2025
IA	LANDOLT SECURITIES, INC.	CRD# 28352	11/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	MOLONEY SECURITIES ASSET MANAGEMENT LLC	282448	Kansas City, MO	05/18/2016 - 12/12/2025
B	MOLONEY SECURITIES CO., INC.	38535	KANSAS CITY, MO	12/05/2013 - 12/12/2025
IA	MOLONEY INVESTMENT ADVISORY LLC	282140	KANSAS CITY, MO	05/18/2016 - 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
Criminal	1
Customer Dispute	2
Termination	1
Judgment/Lien	4



Report Summary



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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LANDOLT SECURITIES, INC.**
Main Address: 900 NORTH SHORE DRIVE SUITE 279
LAKE BLUFF, IL 60044
Firm ID#: 28352

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/10/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	11/10/2025
B	California	Agent	Approved	11/10/2025
B	Colorado	Agent	Approved	03/26/2026
B	Florida	Agent	Approved	01/12/2026
B	Illinois	Agent	Approved	11/10/2025
B	Kansas	Agent	Approved	03/09/2026
B	Missouri	Agent	Approved	03/03/2026
IA	Missouri	Investment Adviser Representative	Approved	03/03/2026
B	New York	Agent	Approved	11/10/2025
B	Texas	Agent	Approved	11/10/2025
IA	Texas	Investment Adviser Representative	Approved	11/10/2025

Branch Office Locations



Qualifications

LANDOLT SECURITIES, INC.
Livestock Exchange Building
1600 Genessee Street Suite 814
Kansas City, MO 64102



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, 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/19/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/19/1994

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/20/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/02/1993

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	05/18/2016 - 12/12/2025	MOLONEY SECURITIES ASSET MANAGEMENT LLC	CRD# 282448	Kansas City, MO
B	12/05/2013 - 12/12/2025	MOLONEY SECURITIES CO., INC.	CRD# 38535	KANSAS CITY, MO
IA	05/18/2016 - 12/31/2016	MOLONEY INVESTMENT ADVISORY LLC	CRD# 282140	KANSAS CITY, MO
IA	12/06/2013 - 04/13/2016	MOLONEY SECURITIES CO., INC.	CRD# 38535	KANSAS CITY, MO
IA	05/04/2011 - 12/05/2013	MONEY CONCEPTS ADVISORY SERVICE	CRD# 12963	KANSAS CITY, MO
B	05/04/2011 - 12/05/2013	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	KANSAS CITY, MO
IA	03/24/2011 - 05/10/2011	TRINITY CAPITAL MANAGEMENT, LLC	CRD# 140946	OVERLAND PARK, KS
IA	04/19/2005 - 11/12/2010	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	MISSION, KS
B	04/19/2005 - 11/12/2010	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	MISSION, KS
IA	06/22/2004 - 04/19/2005	QA3 FINANCIAL LLC	CRD# 104957	MISSION, KS
B	06/10/2004 - 04/19/2005	QA3 FINANCIAL CORP.	CRD# 14754	OMAHA, NE
B	04/10/2002 - 07/19/2002	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	03/27/2002 - 04/12/2002	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	06/29/2001 - 03/22/2002	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	09/03/1998 - 08/30/1999	KIRKPATRICK, PETTIS, SMITH, POLIAN INC.	CRD# 490	OMAHA, NE
B	01/20/1994 - 09/18/1998	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI



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 01/20/1994 - 08/14/1998	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

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
11/2025 - Present	Landolt Securities, Inc.	Registered Representative / Investment Advisor	Y	Kansas City, MO, United States
02/2016 - 12/2025	MOLONEY SECURITIES ASSET MANAGEMENT LLC	INVESTMENT ADVISOR	Y	MANCHESTER, MO, United States
12/2013 - 12/2025	MOLONEY SECURITIES CO., INC.	REGISTERED REPRESENTATIVE	Y	MANCHESTER, MO, United States
02/2016 - 12/2016	MOLONEY INVESTMENT ADVISORY LLC	INVESTMENT ADVISOR	Y	MANCHESTER, MO, 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.

D/B/A - Westport Advisory Group LLC, investment related, LIVESTOCK EXCHANGE BUILDING 1200 Genessee Street Suite 814 Kansas City, MO 64102, DBA, Registered Representative, start 12/2013, 160 hrs/mo during trading hours, assist retail clients with investments

Insurance sales, not investment related, LIVESTOCK EXCHANGE BUILDING 1200 Genessee Street Suite 814 Kansas City, MO 64102, insurance sales, agent, start 01/1990, 5-10hrs per month during trading hours, assist retail clients with insurance



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
Criminal	1
Customer Dispute	2
Termination	1
Judgment/Lien	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	4TH JUDICIAL CIRCUIT COURT, ATCHISON COUNTY, MISSOURI
Location of Court:	ATCHISON COUNTY, MISSOURI
Docket/Case #:	10AT-CR00001
Charge Date:	01/15/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	WITH INTENT TO DEFRAUD, WILLFULLY FAILED TO MAKE A SALES TAX RETURN/PAY SALES TAX/KEEP RECORDS/SUPPLY INFORMATION 144.480 RSMO
No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	PLEA HAS NOT HAPPENED, CASE IS IN CONTINUOUS.
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	07/13/2010
Disposition Date:	07/13/2010
Sentence/Penalty:	DISMISSED BY PROSECUTION WITHOUT PREJUDICE
Broker Statement	DISMISSED BY PROSECUTION WITHOUT PREJUDICE. CHARGES WERE



DROPPED ONCE TAXES WERE PAID TO THE STATE.



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:	Individual
Employing firm when activities occurred which led to the complaint:	MOLONEY SECURITIES CO., INC.
Allegations:	Suitability/negligence. 2019
Product Type:	Debt-Corporate
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount not disclosed.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Jackson County Missouri 16th Judicial Circuit Court
Docket/Case #:	2316-CV27664
Filing date of arbitration/CFTC reparation or civil litigation:	10/18/2023

Customer Complaint Information

Date Complaint Received:	11/03/2023
Complaint Pending?	No
Status:	Settled
Status Date:	05/02/2024
Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The broker dealer settled the matter for business purposes without admitting any wrongdoing or liability. I still refute the allegations of the claims.

Disclosure 2 of 2

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: MOLONEY SECURITIES CO., INC.

Allegations: Negligence/suitability. 2020

Product Type: Debt-Corporate

Alleged Damages: \$300,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/11/2024

Complaint Pending? No

Status: Settled

Status Date: 04/16/2024

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Broker Statement The broker dealer settled the matter for business purposes without admitting any wrongdoing or liability. I still refute the allegations of the claims.



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:	QUICK & REILLY INC
Termination Type:	Discharged
Termination Date:	06/09/2002
Allegations:	ALLEGE ENTRY OF AN UNAUTHORIZED ORDER AND FAILURE TO FOLLOW THE FIRMS EMAIL POLICY.
Product Type:	CD
Broker Statement	AFTER FURTHER CONTACT WITH THE CUSTOMER INVOLVED FROM THE FIRM, THE REPRESENTATIVE HAD PROPER AUTHORIZATION FOR THE TRADE. NASD COMPLETED INQUIRY ON ALLEGED VIOLATION. THEY CLOSED THE FILE BASED ON FACTS WITH NO VIOLATION.



Judgment/Lien

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

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$107,194.64
Judgment/Lien Type: Tax
Date Filed with Court: 08/26/2025
Date Individual Learned: 09/01/2025
Type of Court: Jackson County Recorder
Name of Court: Jackson County, MO
Location of Court: Kansas City, MO
Docket/Case #: 2025E0062331
Judgment/Lien Outstanding? Yes
Broker Statement I have engaged a specialized firm to dispute the assessed tax amount. At this time, no agreement has been reached between myself and the IRS, and a payment plan has not yet been established.

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$11,674.10
Judgment/Lien Type: Tax
Date Filed with Court: 04/23/2019
Date Individual Learned: 06/12/2019
Type of Court: Jackson County, MO
Name of Court: Jackson County, Missouri
Location of Court: Jackson, MO
Docket/Case #: 2019E0028974
Judgment/Lien Outstanding? Yes

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: MISSOURI DEPARTMENT OF REVENUE
Judgment/Lien Amount: \$3,005.52
Judgment/Lien Type: Tax
Date Filed with Court: 12/30/2010
Date Individual Learned: 06/16/2015



Type of Court: State Court
Name of Court: 16TH CIRCUIT COURT
Location of Court: JACKSON COUNTY, MO
Docket/Case #: 10AT-MC00080
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Individual
Judgment/Lien Holder: MISSOURI DEPARTMENT OF REVENUE
Judgment/Lien Amount: \$4,411.89
Judgment/Lien Type: Tax
Date Filed with Court: 12/29/2010
Type of Court: JACKSON COUNTY RECORDER
Name of Court: JACKSON COUNTY RECORDER OFFICE
Location of Court: KANSAS CITY, MISSOURI
Judgment/Lien Outstanding? Yes



End of Report

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