



IAPD Report

SCOTT ALLEN ALTENBURG MR.

CRD# 2357667

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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

SCOTT ALLEN ALTENBURG MR. (CRD# 2357667)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	T&T CAPITAL MANAGEMENT	CRD# 158407	03/17/2017

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	KINGSVIEW ASSET MANAGEMENT, LLC	148107	LAGUNA BEACH, CA	07/06/2015 - 03/15/2017

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



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: **T&T CAPITAL MANAGEMENT**
Main Address: GILBERT, AZ
Firm ID#: 158407

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/17/2017

Branch Office Locations

T&T CAPITAL MANAGEMENT
Coto De Caza, CA



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	Uniform Investment Adviser Law Examination (S65)	Series 65	06/09/2015
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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	07/06/2015 - 03/15/2017	KINGSVIEW ASSET MANAGEMENT, LLC	CRD# 148107	LAGUNA BEACH, CA

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
08/2018 - Present	Three Lakes Trading Company	Associated Person and Vice President	Y	Irvine, CA, United States
03/2017 - Present	T&T Capital Management	Investment Adviser Representative	Y	Gilbert, AZ, United States
07/2014 - Present	RICK NELSON INSURANCE SOLUTIONS LLC	Resident Insurance Producer	Y	Coto De Caza, CA, United States
11/2014 - 08/2018	KINGSVIEW LLC	Associated Person, Branch Manager and Senior Vice President	Y	LAGUNA BEACH, CA, United States
06/2015 - 03/2017	KINGSVIEW ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAGUNA BEACH, CA, 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.

Three Lakes Trading Company; INVESTMENT RELATED; ; COMMODITIES AND FUTURES BROKERAGE; ASSOCIATED PERSON; START DATE 08/2018; OFFERING MANAGED FUTURES, 5 hours per week:

Resident Insurance Producer for RICK NELSON INSURANCE SOLUTIONS LLC, Life, Accident & Health- 5 hours per week



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

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:	NATIONAL FUTURES ASSOCIATION
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/23/2012
Docket/Case Number:	12-BCC-008
Employing firm when activity occurred which led to the regulatory action:	OPTION INVESTMENTS, INC.
Product Type:	No Product
Allegations:	NFA COMPLIANCE RULE 2-9(A): ALTENBURG ALLEGEDLY FAILED TO DILIGENTLY SUPERVISE TRADE RECOMMENDATIONS MADE BY HIS FIRM'S ASSOCIATED PERSONS.
Current Status:	Final
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/26/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?



Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$75,000.00

Portion Levied against individual: \$75,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

HAVING REVIEWED ALL MATTERS RELEVANT TO THE COMPLAINT ISSUED BY THE BUSINESS CONDUCT COMMITTEE (COMMITTEE) OF NATIONAL FUTURES ASSOCIATION (NFA) AGAINST SCOTT A. ALTENBURG IN THE PROCEEDING, AND HAVING CONSIDERED THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENT AND HAVING ACCEPTED THE OFFER, THE COMMITTEE ISSUES THIS DECISION AS TO ALTENBURG. IN MAKING HIS OFFER, THE RESPONDENT NEITHER ADMITTED NOR DENIED THE ALLEGATIONS MADE AGAINST HIM IN THE COMPLAINT, BUT HAVE CONSENTED TO THE USE OF HIS OFFER AND THIS DECISION IN ANY PROCEEDING TO ENFORCE THIS DECISION AND/OR AS EVIDENCE OF HIS DISCIPLINARY HISTORY SHOULD HE BECOME SUBJECT TO DISCIPLINARY ACTION IN THE FUTURE. THE COMMITTEE, HAVING CONSIDERED THIS MATTER AND HAVING ACCEPTED THE OFFER MADE BY THE RESPONDENT, ORDERS THAT: ALTENBURG SHALL PAY A FINE OF \$75,000 TO NFA IN TWELVE EQUAL MONTHLY PAYMENTS OF \$6,250 BEGINNING WITHIN THIRTY DAYS OF THE DATE OF THE ISSUANCE OF THIS DECISION. THE RESPONDENT'S OFFER AND THIS DECISION MAY BE USED IN ANY ACTION TO ENFORCE THE TERMS OF THE OFFER AND MAY BE CONSIDERED AS EVIDENCE IN AGGRAVATION IN ANY SUBSEQUENT DISCIPLINARY, REGULATORY OR REGISTRATION ACTION AGAINST THE RESPONDENT. PURSUANT TO THE PROVISIONS OF COMMODITY FUTURES TRADING COMMISSION (CFTC) REGULATION 1.63, THIS DECISION AND THE SANCTIONS IMPOSED HEREIN RENDER ALTENBURG INELIGIBLE TO SERVE ON A DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION, AS THAT TERM IS DEFINED IN CFTC REGULATION 1.63, UNTIL THE LATER OF THREE YEARS AFTER THE EFFECTIVE DATE OF THIS DECISION, OR UNTIL HE HAS SATISFIED ALL THE SANCTIONS AND CONDITIONS IMPOSED BY THIS DECISION.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL FUTURES ASSOCIATION

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 03/26/2012

Docket/Case Number: 12-BCC-008



Employing firm when activity occurred which led to the regulatory action:	INVEST CORP
Product Type:	Futures Commodity Futures-Financial Options
Allegations:	FAILURE TO SUPERVISE AND GENERAL CONDUCT
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/09/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$75,000.00
Portion Levied against individual:	\$75,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	04/01/2012
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	APPLICANT DENIES ANY WRONG DOING



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:	Individual
Employing firm when activities occurred which led to the complaint:	SUMMIT FINANCIAL SERVICES, INC. D/B/A OPPORTUNITIES IN OPTIONS
Allegations:	THIS ARBITRATION CLAIM AROSE FROM TRADING LOSSES SUFFERED FROM MAY 2006 - DECEMBER 2006 BY CLAIMANTS IN NON-DISCRETIONARY ACCOUNTS RESULTING FROM THE TRADING OF COMMODITY FUTURES CONTRACTS AND OPTIONS THEREON. CLAIMANTS ALLEGED CHURNING, BREACH OF FIDUCIARY DUTY, AND VIOLATIONS OF THE COMMODITY EXCHANGE ACT AND THE COLORADO CONSUMER PROTECTION ACT AGAINST PRIMARILY, ANOTHER BROKER, AND AGAINST MR. ALTENBURG, AS THE BROKER'S SUPERVISOR. THE BROKER AND MR. ALTENBURG DENIED THE ALLEGATIONS AND THE MATTER WAS RESOLVED AMICABLY BETWEEN THE PARTIES.
Product Type:	Commodity Option Futures Commodity Futures-Financial
Alleged Damages:	\$119,159.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NFA
Docket/Case #:	CONSOLIDATED 06-ARB-161 AND 07-ARB-11
Date Notice/Process Served:	02/07/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/07/2007
Monetary Compensation Amount:	\$38,727.00
Individual Contribution Amount:	\$0.00



End of Report

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