



IAPD Report

SCOTT IRA LOOCHTAN

CRD# 2544304

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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 IRA LOOCHTAN (CRD# 2544304)

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 **01/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AW SECURITIES	CRD# 103747	08/16/2022
IA	ALLWORTH FINANCIAL, L.P.	CRD# 111167	08/19/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	AW SECURITIES	103747	Riverwoods, IL	08/19/2022 - 12/31/2023
IA	ARBOR POINT ADVISORS	165127	RIVERWOODS, IL	08/22/2019 - 08/16/2022
IA	SECURITIES AMERICA ADVISORS, INC.	110518	RIVERWOODS, IL	10/27/2017 - 08/16/2022

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



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

Employment 1 of 2

Firm Name: **ALLWORTH FINANCIAL, L.P.**
Main Address: 340 PALLADIO PKWY.
SUITE 501
FOLSOM, CA 95630
Firm ID#: 111167

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/26/2024
IA Illinois	Investment Adviser Representative	Approved	08/19/2022

Branch Office Locations

ALLWORTH FINANCIAL, L.P.
2610 Lake Cook Road
Suite 250
Riverwoods, IL 60015

Employment 2 of 2

Firm Name: **AW SECURITIES**
Main Address: 340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630
Firm ID#: 103747

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/16/2022
B California	Agent	Approved	10/06/2022
B Florida	Agent	Approved	10/07/2022
B Georgia	Agent	Approved	10/11/2022



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	08/19/2022
B Iowa	Agent	Approved	10/11/2022
B Kansas	Agent	Approved	10/11/2022
B Michigan	Agent	Approved	10/10/2022
B Minnesota	Agent	Approved	10/06/2022
B Missouri	Agent	Approved	10/06/2022
B New York	Agent	Approved	10/06/2022
B South Carolina	Agent	Approved	10/10/2022
B Tennessee	Agent	Approved	05/02/2023
B Texas	Agent	Approved	10/06/2022
B Wisconsin	Agent	Approved	10/06/2022

Branch Office Locations

AW SECURITIES

2610 Lake Cook Road
Suite 250
Riverwoods, IL 60015



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	01/18/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/15/1994

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/22/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/1994

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	08/19/2022 - 12/31/2023	AW SECURITIES	CRD# 103747	Riverwoods, IL
IA	08/22/2019 - 08/16/2022	ARBOR POINT ADVISORS	CRD# 165127	RIVERWOODS, IL
IA	10/27/2017 - 08/16/2022	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	RIVERWOODS, IL
B	10/27/2017 - 08/16/2022	SECURITIES AMERICA, INC.	CRD# 10205	RIVERWOODS, IL
IA	06/18/2004 - 11/01/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	RIVERWOODS, IL
B	11/01/2001 - 11/01/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	RIVERWOODS, IL
IA	03/25/2009 - 08/01/2012	ADVANTAGE INVESTMENT MANAGEMENT, LLC	CRD# 146236	RIVERWOODS, IL
B	04/01/1997 - 11/05/2001	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	12/14/1994 - 09/28/1995	FOUNDATION INVESTORS SECURITIES CORP.	CRD# 35541	

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
08/2022 - Present	AW Securities	Registered Rep	Y	Riverwoods, IL, United States
08/2022 - Present	Allworth Financial, L.P.	Investment Advisor Representative	Y	Riverwoods, IL, United States
05/1997 - Present	SENIOR SERVICES OF ILLINOIS, INC.	PRESIDENT	Y	RIVERWOODS, IL, United States
06/1986 - Present	LRM CONSULTING, INC.	PRESIDENT	N	NORTHBRICK, IL, United States
08/2019 - 08/2022	ARBOR POINT ADVISORS	IAR	Y	Riverwoods, IL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2017 - 08/2022	SECURITIES AMERICA ADVISORS	IAR	Y	RIVERWOODS, IL, United States
10/2017 - 08/2022	SECURITIES AMERICA, INC.	REGISTERED REP	Y	RIVERWOODS, IL, 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.

****Rental Properties**

Position: Partner Nature: Rental Properties Investment Related: No Hours: 1 Securities Trading Hours: 0 Start Date: 09/01/1997 Address: 511 E Adams Street, Unit 101D and 198A, Wisconsin Dells WI 53965

****Senior Services of Illinois Inc.**

Position: President Nature: Insurance Sales Investment Related: No Hours: 40 Securities Trading Hours: 20 Start Date: 05/01/1997 Address: 2610 Lake Cook Road, Suite 260, Riverwoods IL 60015

****NEL Sporthorses LLC**

Position: Give advice to my daughter Nature: Horse ownership Investment Related: No Hours: 0 Securities Trading Hours: 0 Start Date: 04/01/2017 Address: 353 RIVERSHIRE CT, LINCOLNSHIRE IL 60015

****Consumers Direct Insurance Services Inc.**

Position: President Nature: Insurance Sales Investment Related: No Hours: 10 Securities Trading Hours: 0 Start Date: 07/01/1998 Address: 2610 Lake Cook Road, Suite 260, Riverwoods IL 60015

****LRM Consulting Inc.**

Position: President Nature: The original insurance agency. I still receive some commissions from old insurance Investment Related: No Hours: 2 Securities Trading Hours: 0 Start Date: 10/01/1987 Address: 2610 Lake Cook Road, Suite 260, Riverwoods IL 60015

****RCC JV, LLC**

Position: Limited Partner Nature: Small ownership in office building Investment Related: No Hours: 1 Securities Trading Hours: 1 Start Date: 05/01/2010 Address: 2610 Lake Cook Road, Suite 200, Riverwoods IL 60015

****TOINSURE.ME INC**

POSITION: Partner NATURE: New Insurance agency name specializing in Medicare, Health Insurance, Auto and homeowners INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 5 START DATE: 03/07/2018 ADDRESS: 8 Dry Creek Circle, Suite 175, Littleton CO 80120 DESCRIPTION: We are opening a new insurance office in Colorado with a new name from our other ones. I will be doing same thing as other agencies over site.

****NEL SPORTHORSES LLC DBA STONE CREEK FARMS**

POSITION: Property owner NATURE: Show jumping and horse barn operation with my daughter. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2018 ADDRESS: 1581 Lexington Road, Georgetown KY 40324 DESCRIPTION: My daughter bought a horse farm for her to board and train her horses. We will also be boarding other horses and renting out the facility. Scott is the land owner.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

**Authentico Tequila - Investor into Tequila company - not industry related and no hours spent on this venture



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

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
Court Details:	COURT, MARICOPA COUNTY,AZ CR133650
Charge Date:	05/04/1983
Charge Details:	SALE OF NARCOPTICS CLASS 2 FELONY.
Felony?	Yes
Current Status:	Final
Status Date:	06/28/1983
Disposition Details:	FELONY CLASS II CONVICTION-30 DAYS AND 5 YRS PROBATION. \$335 FINE. DISPOSED AT AFTER 2 1/2 YEARS OF PROBATION.
Broker Statement	WHEN I WAS 18 YRS OLD IN COLLEGE I WAS ARRESTED FOR SALE OF COCAINE. I WAS YOUNG AND DUMB. I NOW HAVE A FAMILY AND A BUSINESS.



End of Report

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