IAPD Report

TRAVIS JEFFREY MAKINGS

CRD# 3085351

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

TRAVIS JEFFREY MAKINGS (CRD# 3085351)

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 **10/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/24/2012
IA	LPL FINANCIAL LLC	CRD# 6413	04/26/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	CAPSTONE INVESTMENTS	41400	SAN DIEGO, CA	09/19/2007 - 07/29/2011
B	XCU CAPITAL CORPORATION, INC.	19899	CARLSBAD, CA	05/02/2006 - 08/31/2007
B	LINSCO/PRIVATE LEDGER CORP.	6413	SAN DIEGO, CA	02/29/2000 - 04/27/2006

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

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/24/2012
B	FINRA	General Securities Representative	Approved	01/24/2012
B	FINRA	Operations Professional	Approved	12/20/2012
B	FINRA	General Securities Sales Supervisor	Approved	06/28/2017
B	Alabama	Agent	Approved	07/12/2013
B	Alaska	Agent	Approved	07/12/2013
B	Arizona	Agent	Approved	07/12/2013
B	Arkansas	Agent	Approved	07/12/2013
B	California	Agent	Approved	01/24/2012
IA	California	Investment Adviser Representative	Approved	04/26/2023
B	Colorado	Agent	Approved	07/12/2013
B	Connecticut	Agent	Approved	07/12/2013
B	Delaware	Agent	Approved	07/12/2013

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	07/12/2013
B	Florida	Agent	Approved	07/12/2013
B	Georgia	Agent	Approved	07/12/2013
B	Hawaii	Agent	Approved	07/12/2013
B	Idaho	Agent	Approved	07/12/2013
B	Illinois	Agent	Approved	07/12/2013
B	Indiana	Agent	Approved	07/12/2013
B	Iowa	Agent	Approved	07/12/2013
B	Kansas	Agent	Approved	07/12/2013
B	Kentucky	Agent	Approved	07/12/2013
B	Louisiana	Agent	Approved	07/12/2013
B	Maine	Agent	Approved	07/12/2013
B	Maryland	Agent	Approved	07/12/2013
B	Massachusetts	Agent	Approved	07/12/2013
B	Michigan	Agent	Approved	07/12/2013
B	Minnesota	Agent	Approved	07/12/2013
B	Mississippi	Agent	Approved	07/12/2013
B	Missouri	Agent	Approved	07/12/2013
B	Montana	Agent	Approved	07/12/2013

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	07/12/2013
B	Nevada	Agent	Approved	07/12/2013
B	New Hampshire	Agent	Approved	07/12/2013
B	New Jersey	Agent	Approved	07/12/2013
B	New Mexico	Agent	Approved	07/12/2013
B	New York	Agent	Approved	07/12/2013
B	North Carolina	Agent	Approved	07/12/2013
B	North Dakota	Agent	Approved	07/12/2013
B	Ohio	Agent	Approved	07/12/2013
B	Oklahoma	Agent	Approved	07/12/2013
B	Oregon	Agent	Approved	07/12/2013
B	Pennsylvania	Agent	Approved	07/12/2013
B	Puerto Rico	Agent	Approved	07/12/2013
B	Rhode Island	Agent	Approved	07/12/2013
B	South Carolina	Agent	Approved	07/12/2013
B	South Dakota	Agent	Approved	07/12/2013
B	Tennessee	Agent	Approved	07/12/2013
B	Texas	Agent	Approved	07/12/2013
B	Utah	Agent	Approved	07/12/2013

Qualifications

	Regulator	Registration	Status	Date
B	Vermont	Agent	Approved	07/12/2013
B	Virgin Islands	Agent	Approved	07/12/2013
B	Virginia	Agent	Approved	07/12/2013
B	Washington	Agent	Approved	07/12/2013
B	West Virginia	Agent	Approved	07/12/2013
B	Wisconsin	Agent	Approved	07/12/2013
B	Wyoming	Agent	Approved	07/12/2013

Branch Office Locations

LPL FINANCIAL LLC
SAN DIEGO, 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/27/2017
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/27/2017
B	General Securities Principal Examination (S24)	Series 24	01/31/2014

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/28/2000

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/25/2023
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/08/2000

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
B	09/19/2007 - 07/29/2011	CAPSTONE INVESTMENTS	CRD# 41400	SAN DIEGO, CA
B	05/02/2006 - 08/31/2007	XCU CAPITAL CORPORATION, INC.	CRD# 19899	CARLSBAD, CA
B	02/29/2000 - 04/27/2006	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	SAN DIEGO, 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
11/2011 - Present	LPL FINANCIAL LLC	Sr Regional Superv. Principal, Home Office Supervision	Y	SAN DIEGO, 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.

1. 7/21/2021 - No Business Name - Investment Related - San Diego, CA 92117 - Real Estate Rental - Started 06/14/2021 - 5 Hours Per Month/0 Hours During Securities Trading.

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

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/02/2014
Docket/Case Number:	2011025771001
Employing firm when activity occurred which led to the regulatory action:	CAPSTONE INVESTMENTS
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 3012: MAKINGS WAS THE PRINCIPAL AT HIS MEMBER FIRM THAT WAS RESPONSIBLE FOR CONDUCTING THE FIRM'S ANNUAL SUPERVISORY TEST PURSUANT TO NASD RULE 3012. DURING THE PERIODS, MAKINGS FAILED ADEQUATELY TO TEST AND VERIFY THAT THE FIRM'S SUPERVISORY PROCEDURES WERE REASONABLY DESIGNED WITH RESPECT TO THE ACTIVITIES OF THE FIRM AND ITS REGISTERED AND ASSOCIATED PERSONS TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND APPLICABLE FINRA RULES. FURTHER, THE LIMITED SCOPE OF THE TEST WAS INSUFFICIENT FOR THE FIRM TO DETERMINE THE NEED TO AMEND OR ADD TO ITS SUPERVISORY PROCEDURES WITH REGARD TO A NUMBER OF AREAS OF ITS BUSINESS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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:	01/02/2014
Sanctions Ordered:	Censure 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? (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	No

(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:	$7,000.00
Portion Levied against individual:	$7,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/24/2014
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MAKINGS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED $7,000. FINE PAID IN FULL ON DECEMBER 24, 2014.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/02/2014
Docket/Case Number:	2011025771001
Employing firm when activity occurred which led to the regulatory action:	CAPSTONE INVESTMENTS
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 3012: MAKINGS WAS THE PRINCIPAL AT HIS MEMBER FIRM THAT WAS RESPONSIBLE FOR CONDUCTING THE FIRM'S ANNUAL SUPERVISORY TEST PURSUANT TO NASD RULE 3012. DURING

	THE PERIODS, MAKINGS FAILED ADEQUATELY TO TEST AND VERIFY THAT THE FIRM'S SUPERVISORY PROCEDURES WERE REASONABLY DESIGNED WITH RESPECT TO THE ACTIVITIES OF THE FIRM AND ITS REGISTERED AND ASSOCIATED PERSONS TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND APPLICABLE FINRA RULES. FURTHER, THE LIMITED SCOPE OF THE TEST WAS INSUFFICIENT FOR THE FIRM TO DETERMINE THE NEED TO AMEND OR ADD TO ITS SUPERVISORY PROCEDURES WITH REGARD TO A NUMBER OF AREAS OF ITS BUSINESS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	01/02/2014
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,000.00
Portion Levied against individual:	$7,000.00
Payment Plan:	INITIAL PAYMENT OF $1,750, THEN $500.00 PER MONTH UNTIL PAID.
Is Payment Plan Current:	Yes
Date Paid by individual:	12/24/2014
Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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