



IAPD Report

Scott Ryan Swiggett

CRD# 4638175

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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 Ryan Swiggett (CRD# 4638175)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOK FINANCIAL SECURITIES, INC.	CRD# 17530	03/02/2009
IA	BOK FINANCIAL ADVISORS	CRD# 17530	03/06/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	EDWARD JONES	250	MUSTANG, OK	05/30/2007 - 03/02/2009
B	EDWARD JONES	250	MUSTANG, OK	03/07/2005 - 03/02/2009
B	HORACE MANN INVESTORS INC	11643	SPRINGFIELD, IL	07/10/2003 - 09/22/2003

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

Employment 1 of 1

Firm Name: **BOK FINANCIAL ADVISORS**
Main Address: ONE WILLIAMS CENTER
PLAZA SOUTHEAST
TULSA, OK 74102
Firm ID#: 17530

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/02/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	03/02/2009
B	Arizona	Agent	Approved	05/10/2023
B	Arkansas	Agent	Approved	03/17/2011
B	California	Agent	Approved	03/02/2009
B	Colorado	Agent	Approved	11/09/2009
B	Florida	Agent	Approved	02/02/2010
B	Georgia	Agent	Approved	10/01/2013
B	Hawaii	Agent	Approved	05/09/2014
B	Illinois	Agent	Approved	03/11/2009
B	Kansas	Agent	Approved	03/11/2009
B	Louisiana	Agent	Approved	03/18/2009
B	Massachusetts	Agent	Approved	02/15/2023



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	09/10/2014
B	Minnesota	Agent	Approved	04/20/2009
B	Mississippi	Agent	Approved	03/03/2026
B	Missouri	Agent	Approved	11/16/2009
B	Montana	Agent	Approved	02/03/2010
B	Nebraska	Agent	Approved	04/20/2012
B	New Mexico	Agent	Approved	01/18/2011
B	New York	Agent	Approved	07/24/2019
B	North Carolina	Agent	Approved	12/11/2014
B	North Dakota	Agent	Approved	04/01/2009
B	Oklahoma	Agent	Approved	03/02/2009
IA	Oklahoma	Investment Adviser Representative	Approved	03/18/2009
B	Oregon	Agent	Approved	01/11/2010
B	Pennsylvania	Agent	Approved	12/22/2010
B	South Carolina	Agent	Approved	05/14/2012
B	Texas	Agent	Approved	03/02/2009
B	Utah	Agent	Approved	08/20/2009
B	Washington	Agent	Approved	03/03/2010
B	West Virginia	Agent	Approved	08/18/2015



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	03/04/2010

Branch Office Locations

BOK FINANCIAL ADVISORS

499 West Sheridan Avenue
25th, 26th and 27th Floors
Oklahoma City, OK 73102



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	05/02/2005
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/08/2003

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	05/23/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/2003

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	05/30/2007 - 03/02/2009	EDWARD JONES	CRD# 250	MUSTANG, OK
B	03/07/2005 - 03/02/2009	EDWARD JONES	CRD# 250	MUSTANG, OK
B	07/10/2003 - 09/22/2003	HORACE MANN INVESTORS INC	CRD# 11643	SPRINGFIELD, IL

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
02/2009 - Present	BOK Financial Securities, Inc.	SVP, Senior Financial Advisor	Y	Oklahoma City, OK, United States
02/2009 - Present	BOKF, NA	SVP, Senior Financial Advisor	Y	Oklahoma City, OK, 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) NAME: SWIGGETT SUITES, LLC
 ADDRESS: ENID, OK 73703
 INVESTMENT RELATED (Y/N): N
 START DATE: 02/2017
 POSITION HELD: OWNER
 NATURE OF OUTSIDE BUSINESS: RENTAL PROPERTY
 HRS/MO: 1
 HRS/MO DURING SECURITIES TRADING: 0
 BRIEF DESCRIPTION OF DUTIES: THIS IS A PROPERTY I INHERITED AND AM 50% WITH MY SISTER. WE PLAN TO RENT THE PROPERTY.

2) Name: Pivotal Real Estate Solutions, Inc.
 Location: private residential Edmond, OK 73012
 Investment related (y/n): Y
 Start date: 08/2023
 Position held: member
 Nature of outside business: Real Estate
 Hrs/mo: 4
 Hrs/mo during securities trading: 0
 Brief description of duties: sell and/or rent property out



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3) Name: Ambassador Holdings Group, LLC
Location: 3000 W. Memorial Rd., Stes 123; 108, Oklahoma City, OK 73120
Investment related (y/n): N
Start date: 08/2023
Position held: member
Nature of outside business: rental property
Hrs/mo: 1
Hrs/mo during securities trading: 0
Brief description of duties: rent property out



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	1

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: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 7/08; CLIENT STATES HIS FATHER PASSED AWAY IN JUNE 2008 LEAVING HIM AND TWO SIBLINGS THE FUNDS INVESTED THROUGH EDWARD JONES. CLIENT STATES HE ADVISED THE FA THAT, IF TAXES WOULD NEED TO BE PAID ON THE INHERITANCE, HE WANTED TO MAKE SURE FUNDS WERE AVAILABLE FOR THE TAX LIABILITY. CLIENT STATES HE WAS ADVISED THERE WOULD BE NO TAXES DUE ON THE INHERITANCE. CLIENT CLAIMS HE BEGAN RECEIVING 1099S AND AGAIN QUESTIONED THE FA AND WAS TOLD HE SHOULD NOT BE CONCERNED AS TAXES WOULD NOT BE DUE. CLIENT STATES THE FA REFERRED HIM TO THE TAX HOTLINE FOR ASSISTANCE. CLIENTS STATES NO FUNDS WERE SET ASIDE FOR THE LIABILITY AS THE FA ASSURED HIM ON MORE THAN ONE OCCASION THAT THERE WOULD BE NO TAXES DUE. CLIENT STATES WHEN HE HAD HIS TAXES COMPLETED FOR 2008, HE BECAME AWARE THAT HE HAD A \$23,000.00 TAX LIABILITY. CLIENT REQUESTS THE FIRM ASSUME RESPONSIBILITY FOR THE TAX LIABILITY AS WELL AS FOR THE PREPARATION OF THE 2008 TAX FILING.

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/20/2009

Complaint Pending? No



Status: Settled
Status Date: 04/16/2009
Settlement Amount: \$28,125.87
Individual Contribution Amount: \$0.00

Firm Statement

IN HIS COMMENTS IN DISCUSSIONS RELATED TO THE TAX LIABILITY ASSOCIATED WITH THE ACCOUNTS, THE FA APPEARS TO HAVE BEEN REFERRING TO ASSETS HELD WITHIN EDWARD JONES ACCOUNTS - NOT THE ANNUITIES LINKED TO THE ACCOUNT(S). EXPLAINED AN ANNUITY PROVIDES AN OPPORTUNITY FOR TAX DEFERRED GROWTH AND WHEN SURRENDERED, THE INTEREST AND/OR EARNINGS ARE TAXED AS ORDINARY INCOME. IT IS UNDERSTOOD THE ANNUITIES HAD A MUCH LOWER COST BASIS THAN FA BELIEVED DUE TO PREVIOUS 1035 EXCHANGES. THE SUPPORTING DOCUMENTATION THE CLIENT HAS PROVIDED INCLUDES WAGES AND OTHER INCOME ITEMS WHICH HAVE CONTRIBUTED TO THE TAXABLE INCOME CALCULATION. THEREFORE, BASED ON OUR REVIEW, WE ARE EXTENDING AN OFFER TO HIM IN THE AMOUNT OF \$14,761.05 AND TO HIS SISTER IN THE AMOUNT OF \$13,364.82 WHICH REPRESENTS A SIGNIFICANT PORTION OF THEIR 2008 TAX LIABILITY. THE CLIENTS HAVE ACCEPTED OUR OFFERS AND THE ACCOUNTS HAVE BEEN CREDITED.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: [CUSTOMER] INHERITED MONEY FROM HIS FATHER'S ACCOUNT WHO WAS MR. SWIGGETT'S CLIENT. [CUSTOMER] CLAIMS HE ASKED MR. SWIGGETT IF HE WOULD BE REQUIRED TO PAY TAXES ON THE INHERITANCE, CLAIMANT STATES MR. SWIGGETT TOLD HIM NO TAXES WOULD BE PAID SINCE IT WAS AN INHERITANCE. [CUSTOMER'S] TAX PROFESSIONAL ADVISED CLAIMANT HE IS REQUIRED TO PAY \$23,000 IN TAXES.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Customer Complaint Information

Date Complaint Received: 02/23/2009

Complaint Pending? No

Status: Settled

Status Date: 04/16/2009

Settlement Amount: \$28,125.87

Individual Contribution Amount: \$0.00



Broker Statement

7/08; CLIENT STATES HIS FATHER PASSED AWAY IN JUNE 2008 LEAVING HIM AND TWO SIBLINGS THE FUNDS INVESTED THROUGH EDWARD JONES. CLIENT STATES HE ADVISED THE FA THAT, IF TAXES WOULD NEED TO BE PAID ON THE INHERITANCE, HE WANTED TO MAKE SURE FUNDS WERE AVAILABLE FOR THE TAX LIABILITY. CLIENT STATES HE WAS ADVISED THERE WOULD BE NO TAXES DUE ON THE INHERITANCE. CLIENT CLAIMS HE BEGAN RECEIVING 1099S AND AGAIN QUESTIONED THE FA AND WAS TOLD HE SHOULD NOT BE CONCERNED AS TAXES WOULD NOT BE DUE. CLIENT STATES THE FA REFERRED HIM TO THE TAX HOTLINE FOR ASSISTANCE. CLIENTS STATES NO FUNDS WERE SET ASIDE FOR THE LIABILITY AS THE FA ASSURED HIM ON MORE THAN ONE OCCASION THAT THERE WOULD BE NO TAXES DUE. CLIENT STATES WHEN HE HAD HIS TAXES COMPLETED FOR 2008, HE BECAME AWARE THAT HE HAD A \$23,000.00 TAX LIABILITY. CLIENT REQUESTS THE FIRM ASSUME RESPONSIBILITY FOR THE TAX LIABILITY AS WELL AS FOR THE PREPARATION OF THE 2008 TAX FILING.



End of Report

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