



IAPD Report

RICHARD TRAVIS KEATING

CRD# 5384932

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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

RICHARD TRAVIS KEATING (CRD# 5384932)

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 **10/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KEATING INVESTMENT COUNSELORS INC	CRD# 110134	04/12/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** 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	KEATING INVESTMENT COUNSELORS INC	110134	DELRAY BEACH, FL	08/27/2007 - 12/31/2011

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 **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KEATING INVESTMENT COUNSELORS INC**
Main Address: 101 SE 6TH AVE
SUITE G
DELRAY BEACH, FL 33483
Firm ID#: 110134

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	10/29/2025
IA	Florida	Investment Adviser Representative	Approved	06/02/2017
IA	Illinois	Investment Adviser Representative	Approved	06/30/2017
IA	North Carolina	Investment Adviser Representative	Approved	03/23/2018
IA	Texas	Investment Adviser Representative	Approved	04/12/2017

Branch Office Locations

KEATING INVESTMENT COUNSELORS INC
101 SE 6TH AVE
SUITE G
DELRAY BEACH, FL 33483

KEATING INVESTMENT COUNSELORS INC
465 Anglers Dr.
Suite 2-G
Steamboat Springs, CO 80487



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	08/23/2007
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Analyst

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/27/2007 - 12/31/2011	KEATING INVESTMENT COUNSELORS INC	CRD# 110134	DELRAY BEACH, FL

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
12/2018 - Present	KEATING INVESTMENT COUNSELORS	CHIEF COMPLIANCE OFFICER/PRESIDENT/TREASURER/PORTFOLIO MANAGER/INVESTMENT ANALYST	Y	DELRAY BEACH, FL, United States
06/2017 - 12/2018	KEATING INVESTMENT COUNSELORS, INC	CHIEF COMPLIANCE OFFICER/VICE PRESIDENT/TREASURER/PORTFOLIO MANAGER/INVESTMENT ANALYST	Y	DELRAY BEACH, FL, United States
02/2015 - 06/2017	KEATING INVESTMENT COUNSELORS, INC	VICE PRESIDENT/TREASURER/PORTFOLIO MANAGER & INVESTMENT ANALYST	Y	DELRAY BEACH, FL, 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.

No information reported.



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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	06/02/2017
Docket/Case Number:	71992-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Keating Investment Counselors Inc.
Product Type:	No Product
Allegations:	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
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:	06/02/2017
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:** \$35,000.00**Portion Levied against individual:** \$35,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 06/02/2017**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

On 6/2/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Richard Travis Keating. Mr. Keating accepts consents and agrees, prior to a hearing and without an adjudication of any issue of law or fact, to the finding of the Office. The Office found that Philip Joseph Keating engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Mr. Keating agreed to pay an administrative fine in the amount of \$35,000. The Office agreed to approve Richard Travis Keating's application as an associated person (RA) with Keating Investment Counselors Inc. effective 6/2/2017.

Reporting Source: Individual**Regulatory Action Initiated By:** State of Florida Office of Financial Regulation**Sanction(s) Sought:** Cease and Desist**Date Initiated:** 04/14/2017**Docket/Case Number:** 71992-SR**Employing firm when activity occurred which led to the regulatory action:** Keating Investment Counselors, Inc.**Product Type:** No Product**Allegations:**

In April 2017, an internal review by Keating Investment Counselors discovered that Mr. Keating's registration with the State of Florida had discrepancies. Mr. Keating immediately notified the state of Florida to correct this paperwork. On June 1, 2017, a Final order was issued by the State of Florida Office of Financial Regulation and agreed upon by Mr. Richard Keating, stipulating that Mr. Keating conducted investment advisory business activities from a location within the State of Florida without proper registration from January 2012 to April 2017 in violation of Section 517.12(1), Florida Statutes. This matter has been resolved effective June 1, 2017. Mr. Keating has been approved by the State of Florida to conduct investment advisory business activities within the state. During the period of noncompliance with Florida's registration system, Mr. Keating possessed the knowledge and designations required to provide investment advisory services to the clients of Keating Investment Counselors. Specifically, Mr. Keating was awarded the Chartered Financial Analyst (CFA) designation in 2011. This violation was due to an administrative oversight and system functionality issue.



Current Status:	Final
Resolution:	Stipulation and Consent
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:	06/01/2017
Sanctions Ordered:	Cease and Desist
Broker Statement	<p>In April 2017, an internal review by Keating Investment Counselors discovered that Mr. Keating's registration with the State of Florida had discrepancies. Mr. Keating immediately notified the state of Florida to correct this paperwork. On June 1, 2017, a Final order was issued by the State of Florida Office of Financial Regulation and agreed upon by Mr. Richard Keating, stipulating that Mr. Keating conducted investment advisory business activities from a location within the State of Florida without proper registration from January 2012 to April 2017 in violation of Section 517.12(1), Florida Statutes. This matter has been resolved effective June 1, 2017. Mr. Keating has been approved by the State of Florida to conduct investment advisory business activities within the state. During the period of noncompliance with Florida's registration system, Mr. Keating possessed the knowledge and designations required to provide investment advisory services to the clients of Keating Investment Counselors. Specifically, Mr. Keating was awarded the Chartered Financial Analyst (CFA) designation in 2011. This violation was due to an administrative oversight and system functionality issue.</p>



End of Report

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