



## IAPD Report

# TRAVIS ROBERT FORD

CRD# 6151075

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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

### TRAVIS ROBERT FORD (CRD# 6151075)

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 **01/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CREATIVEONE SECURITIES, LLC	CRD# 152974	01/15/2013
<b>IA</b>	CREATIVEONE SECURITIES, LLC	CRD# 152974	03/04/2013

### QUALIFICATIONS

This representative is currently registered in **1** 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
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No information reported.

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

### Employment 1 of 1

Firm Name: **CREATIVEONE SECURITIES, LLC**  
Main Address: 6330 SPRINT PARKWAY, SUITE 400  
OVERLAND PARK, KS 66211  
Firm ID#: 152974

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/15/2013
<b>B</b> Iowa	Agent	Approved	09/18/2014
<b>B</b> Minnesota	Agent	Approved	09/16/2022
<b>B</b> Missouri	Agent	Approved	03/04/2013
<b>IA</b> Missouri	Investment Adviser Representative	Approved	03/04/2013
<b>B</b> Oklahoma	Agent	Approved	02/03/2025
<b>B</b> Texas	Agent	Approved	08/25/2015
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/02/2026

### Branch Office Locations

**CREATIVEONE SECURITIES, LLC**  
1530 RAX COURT  
JEFFERSON CITY, MO 65109

**CREATIVEONE SECURITIES, LLC**  
3124 West Edgewood Drive  
Jefferson City, MO 65109



## 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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	01/14/2013
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/01/2013
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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:

No information reported.

### 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
01/2013 - Present	CreativeOne Securities, LLC formerly Client One Securities, LLC	Registered Representative/Investment Adviser Representative	Y	Overland Park, KS, 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. Ford Service LLC; Investment related: No; 1919 Brady Drive, Jefferson City, MO 65101; Construction; Owner of home improvement business; start date: 01/2011; 10 hrs/month; small repairs/improvement jobs for homeowners
2. Acrisure Wallstreet Partners LLC (formerly Wallstreet Financial Group); Investment related: No; 1530 Rax Court, Jefferson, MO 65109; Insurance; Agent; start date: 03/2013; 20 hrs/month all during trading hours; fixed insurance and annuity sales
3. Missouri State Board of Accountancy; Investment related: No; 3605 Missouri Blvd, Jefferson City, MO 65109; State regulation of CPA's in MO; Secretary; start date: 04/2013; 4 hrs/month all during trading hours; reviews meeting minutes and makes motion to go into closed session when required by law
4. Missouri Insurance Education Foundation; Investment related: No; Insurance education; Board member; start date: 01/2015; 2 hrs/month all during trading hours; advising, voting, and attending board meetings
5. Special Needs Trust; Investment related: Yes; Colorado Springs, CO; Co-trustee (trustee on trust of a relative); start date: 01/2022; 20 hrs/month with 5 hours during trading hours; Oversees investment managers (with a different firm) and pay the expenses
6. AARP TaxAide; Investment related: No; 601 E. Street, NW, Washington, DC 20049; Volunteer; start date: 02/2025; 20 hrs/month with 5 hours during trading hours; Helps consumers with financial questions at no charge.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Client One Securities LLC
<b>Allegations:</b>	Client chose to move some of his 401k into a fund not discussed with his advisor. He was then told by the 401k provider that he would have to pay a surrender charge to move money out of the new fund. He filed a complaint against the advisor, despite having not discussed this fund with the advisor.
<b>Product Type:</b>	Other: 401k fund
<b>Alleged Damages:</b>	\$13,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	When we last talked, he had not paid a surrender charge. At the time, we estimated the surrender fee at \$13,000. I later confirmed with Principal that he chose to move funds out of the 401k and pay surrender charge of approximately \$6,780.02.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/21/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied



**Status Date:** 08/21/2019

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

This complaint should have been filed against the client's 401k provider, rather than me. While I had no part in his investment decision, I spent considerable time trying to persuade the 401k provider to waive the surrender charge. The 401k provider refused to waive the charge. I agree with the client that the 401k provider should have waived the surrender charge. Client One Securities' CEO in his response to the client said "we continue to believe [THE 401K PROVIDER] acted unreasonably in handling your situation."



## End of Report

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