



IAPD Report

ALAN PAUL HARRIS

CRD# 6385831

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

ALAN PAUL HARRIS (CRD# 6385831)

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 **12/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CREATIVEONE WEALTH, LLC	CRD# 281213	11/26/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **10** 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	CORECAP ADVISORS	158819	EAGLE MOUNTAIN, UT	11/24/2014 - 12/18/2024
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	OREM, UT	08/26/2014 - 11/17/2014

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

Employment 1 of 1

Firm Name: **CREATIVEONE WEALTH, LLC**
Main Address: 6330 SPRINT PKWY
SUITE 400
OVERLAND PARK, KS 66211
Firm ID#: 281213

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	01/14/2025
IA	Arkansas	Investment Adviser Representative	Approved	11/26/2024
IA	Georgia	Investment Adviser Representative	Approved	01/15/2025
IA	Indiana	Investment Adviser Representative	Approved	11/26/2024
IA	Maryland	Investment Adviser Representative	Approved	11/26/2024
IA	New York	Investment Adviser Representative	Approved	11/26/2024
IA	Ohio	Investment Adviser Representative	Approved	11/26/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	11/26/2024
IA	Utah	Investment Adviser Representative	Approved	11/27/2024
IA	Washington	Investment Adviser Representative	Approved	11/26/2024

Branch Office Locations

CREATIVEONE WEALTH, LLC
1432 E 840 North
Orem, UT 84097



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

08/26/2014



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	11/24/2014 - 12/18/2024	CORECAP ADVISORS	CRD# 158819	EAGLE MOUNTAIN, UT
IA	08/26/2014 - 11/17/2014	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	OREM, UT

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
11/2024 - Present	CreativeOne Wealth, LLC	Investment Advisor Representative	Y	Overland Park, KS, United States
05/2011 - Present	BIKE PEDDLER	ASSISTANT MANAGER	N	AMERICAN FORK, UT, United States
11/2014 - 11/2024	CoreCap Advisors, LLC	Investment Advisor Representative	Y	Southfield, MI, 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.) M&O Marketing; Investment related; 27777 Franklin Rd Suite 700, Southfield, MI 48034; Life insurance/annuities sales; Agent; 01/2013; 0-1 hrs/mo; 0-1 hrs/mo; Sales
- 2.) PH, LLC; not investment related; 1432 East 840 North Orem UT 84097; Tax Planning; Owner; 10/2021; 5-10 hrs/mo; 1 hr/mo; Manage the business and provide tax planning/tax mitigation strategies
- 3.) CreativeOne; investment related; 6330 Sprint Parkway Suite 400 Overland Park, KS 66211; FMO; Agent; 11/2024; 40 hrs/mo; 40 hrs/mo; Insurance/Annuity Sales
- 4.) Peterson Shafer; not investment related; 1432 East 840 North Orem UT 84097; Staff Accountant; 01/2017; 1 hr/mo; 1 hr/mo; Prepare tax returns
- 5.) Bike Peddler; not investment related; 3600 Ashton Blvd suite a, Lehi, UT 84043; Staff member; 01/2011; 1 hr/mo; 0 hrs/mo; 1 to 2 times per year I will help out. Very part time but I get a discount on bike parts.
- 6.) PKH LLC; not investment related; 9802 South 6000 West; Payson UT 84651; Health Supplement Sales; Member; 08/2024; 5 hrs/mo; 0 hrs/mo; Sell Health Supplement, do accounting and back-end operation
- 7.) P&C LLC; investment related; 1432 East 840 North Orem UT 84097; Investments; Owner; 01/2021; 5 hrs/mo; 3 hrs/mo; Accounting and Operations
- 8.) Reaction Data; not investment related; 1415 E 840 N Orem UT 84097; Software sales; Virtual CFO; 01/2016; 1 hr/mo; 0 hrs/mo; Accounting, Contracting, Finance management
- 9.) Finest Food Funding, LLC; Not investment related; 1432 East 840 North Orem UT 84097; Sort-term lending to a startup company; Manager; 2023 - 2024 - this company will close once the loan is repaid; 0 hrs/mo; 0 hrs/mo; Accounting and management of the loan process.
- 10.) Rental Properties; not investment related; 9802 South 6000 West; Payson UT 84651; Properties that are rented; Owner;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

01/2014; 0 hrs/mo; 0 hrs/mo; own the properties and receive passive rental income

11.) Peterson Harris, Inc.; investment related; 1432 East 840 North Orem UT 84097; IAR S-Corp; IAR, Vice President/Owner;

01/2021; 127 hrs/mo; 127 hrs/mo; Manage trades, strategies for clients, manage support staff, and business operations/finances.



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
Formal Charges were brought in:	State Court
Name of Court:	4TH DISTRICT COURT PROVO
Location of Court:	PROVO, UTAH
Docket/Case #:	021401108
Charge Date:	03/05/2002
Charge(s) 1 of 2	
Formal Charge(s)/Description:	THEFT BY DECEPTION
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLEA IN ABEYANCE
Disposition of charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	THEFT BY RECEIVING STOLEN PROPERTY
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLEA IN ABEYANCE
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	08/18/2003



Disposition Date: 08/18/2003

Sentence/Penalty: PAID \$50 RESTITUTION AND \$200 PLEA IN ABEYANCE FEE ON 5/28/2002.
HAD TO COMPLETE THEFT EDUCATION CLASS AND 48 HOURS OF
COMMUNITY SERVICE

Broker Statement I WAS GIVEN A BICYCLE THAT WAS STOLEN UNKNOWNED TO ME. I PAWNED
THE BICYCLE AND WAS CHARGED FOR THEFT. THE CHARGES WERE
DISMISSED AND SUPPOSE TO BE REMOVED FROM MY RECORD BUT MY
COUNCIL DID NOT PROCESS THE PAPERWORK. SO I DIDN'T REPORT IT ON
THE INITIAL FORM U4. PLEA OF ABEYANCE ENTERED ON 5/24/2002 AND
THE CASE WAS DISMISSED ON 8/18/2003.



End of Report

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