

BrokerCheck Report

LOCKTON INVESTMENT SECURITIES, LLC

CRD# 137476

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**LOCKTON INVESTMENT
SECURITIES, LLC**

CRD# 137476

SEC# 8-67090

Main Office Location

444 W. 47TH STREET
SUITE 900
KANSAS CITY, MO 64112
Regulated by FINRA Kansas City Office

Mailing Address

444 W. 47TH STREET
SUITE 900
KANSAS CITY, MO 64112

Business Telephone Number

816-960-9000

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Missouri on 05/01/2016.
Its fiscal year ends in April.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 52 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Missouri on 05/01/2016.
Its fiscal year ends in April.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

LOCKTON INVESTMENT SECURITIES, LLC
Doing business as LOCKTON INVESTMENT SECURITIES, LLC
CRD# 137476
SEC# 8-67090

Main Office Location
444 W. 47TH STREET
SUITE 900
KANSAS CITY, MO 64112

Regulated by FINRA Kansas City Office

Mailing Address
444 W. 47TH STREET
SUITE 900
KANSAS CITY, MO 64112

Business Telephone Number
816-960-9000

Other Names of this Firm

Name	Where is it used
LOCKTON INVESTMENT SECURITIES SERVICES, LLC	NY



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	LOCKTON INSURANCE AGENCY, LLC DBA LOCKTON COMPANIES
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	CORPORATE UNIT HOLDER
Position Start Date	05/2016
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CLARK, SUZETTE MICHELLE 3153620
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	07/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HAYES, SUSAN ANN 2856326
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, CFO
Position Start Date	01/2022

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): LOCKTON MANAGEMENT, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position MANAGER

Position Start Date 05/2016

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): PATTEN, DEIRDRE MARIAN

1357509

Is this a domestic or foreign entity or an individual? Individual

Position CCO

Position Start Date 07/2025

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	LOCKTON OPERATING COMPANIES, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	LOCKTON INSURANCE AGENCY, LLC DBA LOCKTON COMPANIES
Relationship to Direct Owner	CORPORATE UNIT HOLDER
Relationship Established	05/2016
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LOCKTON PARTNERS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	LOCKTON OPERATING COMPANIES, LLC
Relationship to Direct Owner	CORPORATE UNIT HOLDER
Relationship Established	05/2016
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LOCKTON, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established LOCKTON MANAGEMENT, LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 05/2016

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LOCKTON, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established LPCM, LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 05/2016

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LPCM, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established LOCKTON PARTNERS, LLC

Relationship to Direct Owner CORPORATE UNIT HOLDER

Relationship Established 05/2016

Firm Profile



Indirect Owners (continued)

Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/15/2006

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/15/2006



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/14/2008
Alaska	Approved	04/16/2008
Arizona	Approved	05/20/2008
Arkansas	Approved	05/29/2008
California	Approved	03/30/2006
Colorado	Approved	04/04/2006
Connecticut	Approved	08/15/2008
Delaware	Approved	06/12/2008
District of Columbia	Approved	04/30/2008
Florida	Approved	05/16/2008
Georgia	Approved	05/08/2008
Hawaii	Approved	05/14/2008
Idaho	Approved	04/17/2008
Illinois	Approved	06/09/2008
Indiana	Approved	06/12/2008
Iowa	Approved	06/09/2008
Kansas	Approved	06/05/2008
Kentucky	Approved	04/21/2008
Louisiana	Approved	04/23/2008
Maine	Approved	06/04/2008
Maryland	Approved	04/29/2008
Massachusetts	Approved	05/12/2008
Michigan	Approved	05/13/2008
Minnesota	Approved	04/14/2008
Mississippi	Approved	04/14/2008
Missouri	Approved	09/21/2007
Montana	Approved	04/25/2008
Nebraska	Approved	05/01/2008
Nevada	Approved	04/29/2008
New Hampshire	Approved	06/10/2008
New Jersey	Approved	06/09/2008
New Mexico	Approved	05/08/2008
New York	Approved	04/21/2008

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	04/23/2008
North Dakota	Approved	04/25/2008
Ohio	Approved	04/29/2008
Oklahoma	Approved	06/30/2008
Oregon	Approved	05/16/2008
Pennsylvania	Approved	05/12/2008
Puerto Rico	Approved	05/14/2008
Rhode Island	Approved	05/06/2008
South Carolina	Approved	04/29/2008
South Dakota	Approved	04/15/2008
Tennessee	Approved	01/08/2009
Texas	Approved	05/13/2008
Utah	Approved	04/14/2008
Vermont	Approved	07/14/2008
Virginia	Approved	04/23/2008
Washington	Approved	04/14/2008
West Virginia	Approved	05/22/2008
Wisconsin	Approved	04/28/2008
Wyoming	Approved	05/09/2008



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business

Mutual fund retailer

Broker or dealer selling variable life insurance or annuities

Private placements of securities

Other - LOCKTON INVESTMENT SECURITIES, LLC ("LIS") PROVIDES CONSULTING SERVICES TO EMPLOYER SPONSORED BENEFIT PLANS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name:	MYCOMPLIANCEOFFICE / TERRA NUA
Business Address:	535 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10017
Effective Date:	08/17/2019
Description:	WORM STORAGE MEDIA.

Name:	SMARSH
Business Address:	921 SW WASHINGTON ST. SUITE 550 PORTLAND, OR 97205
Effective Date:	02/28/2012
Description:	PRESERVES RECORDS IN A NON-RE-WRITABLE, NON-ERASABLE FORMAT. VERIFIES AUTOMATICALLY THE QUALITY AND ACCURACY OF THE STORAGE PROCESS. SERIALIZES THE ORIGINAL AND DUPLICATE UNITS OF STORAGE MEDIA, AND TIME-DATE THE INFORMATION PLACED ON THE ESM. HAS THE CAPACITY TO DOWNLOAD INDEXES AND RECORDS TO AN ACCEPTABLE MEDIUM.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

LOCKTON RE CAPITAL MARKETS, LLC is under common control with the firm.

CRD #:	323110
Business Address:	48 WEST 25TH STREET, 7TH FLOOR NEW YORK, NY 10010
Effective Date:	04/28/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	LOCKTON INVESTMENT SECURITIES, LLC AND LOCKTON RE CAPITAL MARKETS, LLC ARE UNDER COMMON CONTROL BY LOCKTON OPERATING COMPANIES, LLC

LOCKTON INVESTMENT ADVISORS, LLC is under common control with the firm.

CRD #:	144133
Business Address:	444 W. 47TH STREET SUITE 900 KANSAS CITY, MO 64112
Effective Date:	10/12/2007
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: LOCKTON INSURANCE AGENCY, LLC. CONTROLS BOTH LOCKTON INVESTMENT ADVISORS, LLC AND LOCKTON INVESTMENT SECURITIES, LLC THEREFORE, THEY ARE UNDER COMMON CONTROL.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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