BrokerCheck Report

IAN JON SCOTT

CRD# 2962358

Section Title	**Page(s)**

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.
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Thank you for using FINRA BrokerCheck.

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.

IAN J. SCOTT
CRD# 2962358

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 3 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **CEDAR CREEK SECURITIES, INC.**
CRD# 118498
MILWAUKEE, WI
06/2002 - 04/2012

B **LISS FINANCIAL SERVICES**
CRD# 21950
MILWAUKEE, WI
10/1997 - 09/2002

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination	Series 53	01/17/2006
B	General Securities Principal Examination	Series 24	12/17/2003
B	Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	01/22/2002

General Industry/Product Exams

	Exam	Category	Date
B	Limited Representative-Equity Trader Exam	Series 55	08/21/2000
B	General Securities Representative Examination	Series 7	10/28/1997

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/05/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2002 - 04/2012	CEDAR CREEK SECURITIES, INC.	118498	MILWAUKEE, WI
B	10/1997 - 09/2002	LISS FINANCIAL SERVICES	21950	MILWAUKEE, WI

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2001 - Present	CEDAR CREEK SECURITIES	PRESIDENT, CEO	Y	CEDARBURG, WI, United States

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	1	0

Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/10/2003
Docket/Case Number:	CMS030165
Employing firm when activity occurred which led to the regulatory action:	LISS FINANCIAL SERVICE
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT SCOTT FAILED TO REASONABLY SUPERVISE THE ACTIVITIES OF MEMBER FIRM'S EMPLOYEES AND FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM AND WRITTEN SUPERVISORY PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE SECURITIES LAWS, REGULATIONS AND NASD RULES. SPECIFICALLY, RESPONDENT SCOTT FAILED TO REASONABLY SUPERVISE AND FAILED TO ESTABLISH AND MAINTAIN AN ADEQUATE SUPERVISORY SYSTEM WITH REGARD TO THE FOLLOWING AREAS: INVESTMENT BANKING ACTIVITIES, INCLUDING THE PUBLIC AND PRIVATE OFFER, SALE AND DISTRIBUTION OF SECURITIES; FAIR PRICING OF SECURITIES; COMMUNICATIONS WITH THE PUBLIC; CUSTOMER SUITABILITY AND PENNY STOCK DISCLOSURE REQUIREMENTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Resolution Date:	07/10/2003
Sanctions Ordered:	Monetary/Fine $10,000.00 Suspension
Other Sanctions Ordered:	UNDERTAKING TO RE-QUALIFY AS A GENERAL SECURITIES PRINCIPAL.
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT SCOTT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $10,000; SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY BEGINNING ON AUGUST 1, 2003 AND CONTINUING FOR A PERIOD OF 31 CALENDAR DAYS; SUSPENDED FROM ACTING IN THE CAPACITY OF A GENERAL SECURITIES PRINCIPAL WITH ANY MEMBER OF NASD BEGINNING ON AUGUST 1, 2003 AND CONTINUING FOR A PERIOD OF NINE CALENDAR MONTHS. THE SUSPENSION PERIODS DESCRIBED HEREIN SHALL RUN CONCURRENTLY; AND UNDERTAKING TO RE-QUALIFY AS A GENERAL SECURITIES PRINCIPAL BY TAKING AND PASSING THE SERIES 24 GENERAL SECURITIES PRINCIPAL EXAMINATION WITHIN SIX MONTHS OF THE DATE OF ACCEPTANCE OF THIS AWC BY NASD. FAILURE TO TAKE AND PASS THE SERIES 24 EXAMINATION WITHIN THE TIME PERIOD STATED HEREIN SHALL RESULT IN THE RESPONDENT'S SUSPENSION FROM ASSOCIATION WITH ANY MEMBER OF NASD IN ANY CAPACITY UNTIL SUCH TIME THAT THE RESPONDENT HAS PASSED THE EXAMINATION. SATISFACTORY PROOF THAT THE RESPONDENT HAS TAKEN AND PASSED THE SERIES 24 EXAMINATION SHALL BE SUBMITTED TO NASD NO LATER THAN 60 DAYS FOLLOWING THE RESPONDENT'S COMPLETIONS OF THE EXAMINATION. THE SUSPENSION IN ANY CAPACITY EFFECTIVE ON AUGUST 1, 2003, AND WILL END ON AUGUST 31, 2003. THE SUSPENSION IN THE CAPACITY OF A GENERAL SECURITIES PRINCIPAL EFFECTIVE ON AUGUST 1, 2003, AND END ON APRIL 30, 2004.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD MARKET REGULATION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE
Date Initiated:	02/11/2003
Docket/Case Number:	CMS030165

Employing firm when activity occurred which led to the regulatory action:	LISS FINANCIAL SERVICES
Product Type:	Penny Stock(s)
Other Product Type(s):	
Allegations:	FAILURE TO ADEQUATELY SUPERVISE THE PRESIDENT OF LISS FINANCIAL SERVICES IN HIS CORPORATE TRADING AND INVESTMENT BANKING ACTIVITIES RELATING TO CONDUCT RULES 2110 AND NASD RULE 3010.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/11/2003
Sanctions Ordered:	Monetary/Fine $10,000.00 Suspension
Other Sanctions Ordered:	AN UNDERTAKING TO REQUALIFY AS A GENERAL SECURITIES PRINICPAL BY TAKING AND PASSING THE SERIERS 24 GENERAL SECURITIES PRINCIPAL EXAMINATION WITHIN SIX MONTHS OF THE DATE OF ACCEPTANCE OF THE AWC BY THE NASD.
Sanction Details:	SUSPENSION FROM ASSOCIATING WITH ANY MEMBER OF NASD BEGINING AUGUST 1, 2003 CONTINUING FOR A PERIOD OF 31 CALENDAR DAYS; SUSPENSION FROM ACTING IN THE CAPACITY OF A GENERAL SECURITIES PRINCIPAL BEGINING ON AUGUST 1, 2003 AND CONTINUING FOR A PERIOD OF NINCE CALENDAR MONTHS. THESE SUSPENSION PERIODS SHALL RUN CONCURENTLY.

End of Report

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