BrokerCheck Report

MARTIN SAMUEL ALTIMORE

CRD# 4048

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.

MARTIN S. ALTIMORE

CRD# 4048

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:

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

Registration History

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

B **MESIROW FINANCIAL, INC.**
CRD# 2764
SAN ANTONIO, TX
09/2010 - 04/2012

B **RAYMOND JAMES & ASSOCIATES, INC.**
CRD# 705
HOUSTON, TX
12/1995 - 09/2010

B **INTERSTATE/JOHNSON LANE CORPORATION**
CRD# 431
CHARLOTTE, NC
10/1994 - 10/1995

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

https://www.adviserinfo.sec.gov

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage 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.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	06/11/2002
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/24/1993

General Industry/Product Exams

	Exam	Category	Date
B	AMEX Put and Call Exam	PC	02/11/1992
B	General Securities Principal Examination	Series 000	07/01/1968
B	Registered Representative Examination	Series 1	05/13/1968

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	04/27/2016
B	Uniform Securities Agent State Law Examination	Series 63	12/17/1985

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 firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	09/2010 - 04/2012	MESIROW FINANCIAL, INC.	2764	SAN ANTONIO, TX
B	12/1995 - 09/2010	RAYMOND JAMES & ASSOCIATES, INC.	705	HOUSTON, TX
B	10/1994 - 10/1995	INTERSTATE/JOHNSON LANE CORPORATION	431	CHARLOTTE, NC
B	05/1993 - 10/1994	MORGAN KEEGAN & COMPANY, INC.	4161	MEMPHIS, TN
B	07/1990 - 05/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	01/1989 - 07/1990	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	7560	JERSEY CITY, NJ
B	08/1984 - 10/1988	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	
B	10/1983 - 07/1984	UNDERWOOD, NEUHAUS & CO., INCORPORATED	839	
B	12/1980 - 04/1983	FIRST MID-AMERICA INC.	306	
B	07/1978 - 01/1981	A. G. BECKER INCORPORATED	7635	
B	05/1976 - 07/1978	A. G. BECKER INCORPORATED	6794	
B	03/1974 - 04/1976	LOEB RHOADES & CO	1000005	
B	10/1971 - 04/1974	KIDDER, PEABODY & CO., INCORPORATED	488	
B	01/1971 - 11/1971	SHEARSON, HAMMILL & CO., INCORPORATED	766	
B	12/1970 - 04/1971	GOODBODY & CO. INCORPORATED	362	

Employment History

Registration and Employment History

Employment History, continued

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
01/2016 - Present	Martin S. Altimore Capital Management	Sole Proprietor	Y	Fair Oaks Ranch, TX, United States
04/2012 - 12/2015	RETIRED	NOT WORKING	N	FAIR OAKS RANCH, TX, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

End of Report

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