BrokerCheck Report

Travis J Williams

CRD# 5659560

Section Title

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.

Travis J. Williams

CRD# 5659560

Currently employed by and registered with the following Firm(s):

B **FARMERS FINANCIAL SOLUTIONS, LLC**
404 W FRANKLIN ST STE 102
MONTEREY, CA 93940
CRD# 103863
Registered with this firm since: 08/11/2025

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 registered with:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

B **PRINCIPAL SECURITIES, INC.**
CRD# 1137
CARMEL, CA
05/2023 - 12/2024

B **FARMERS FINANCIAL SOLUTIONS, LLC**
CRD# 103863
MONTEREY, CA
05/2020 - 05/2023

IA **FARMERS FINANCIAL SOLUTIONS, LLC**
CRD# 103863
WESTLAKE VILLAGE, CA
10/2017 - 06/2018

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**

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 individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **FARMERS FINANCIAL SOLUTIONS, LLC**

Main Office Address: **30700 RUSSELL RANCH ROAD**
OFFICE #214
WESTLAKE VILLAGE, CA 91362

Firm CRD#: **103863**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/11/2025

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/11/2025

Branch Office Locations

FARMERS FINANCIAL SOLUTIONS, LLC
404 W FRANKLIN ST STE 102
MONTEREY, CA 93940

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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	06/20/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	04/17/2009

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/25/2013
B	Uniform Securities Agent State Law Examination	Series 63	04/27/2009

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	05/2023 - 12/2024	PRINCIPAL SECURITIES, INC.	1137	CARMEL, CA
B	05/2020 - 05/2023	FARMERS FINANCIAL SOLUTIONS, LLC	103863	MONTEREY, CA
IA	10/2017 - 06/2018	FARMERS FINANCIAL SOLUTIONS, LLC	103863	MISSION VIEJO, CA
B	05/2016 - 06/2018	FARMERS FINANCIAL SOLUTIONS, LLC	103863	MISSION VIEJO, CA
IA	03/2015 - 10/2015	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	IRVINE, CA
B	02/2015 - 10/2015	PRUCO SECURITIES, LLC.	5685	IRVINE, CA
IA	11/2013 - 02/2015	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	IRVINE, CA
B	05/2012 - 01/2014	G.F. INVESTMENT SERVICES, LLC	132939	IRVINE, CA
B	01/2011 - 03/2012	EDI FINANCIAL, INC.	15699	IRVINE, CA
B	07/2010 - 12/2010	NATIONAL PLANNING CORPORATION	29604	IRVINE, CA
B	08/2009 - 06/2010	EDI FINANCIAL, INC.	15699	IRVING, TX
B	04/2009 - 06/2009	SAGEPOINT FINANCIAL, INC.	133763	IRVINE, CA

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
08/2025 - Present	FARMERS FINANCIAL SOLUTIONS	REGISTERED REP	Y	MONTEREY, CA, United States
01/2025 - Present	Cal. State Univ. Monterey Bay	Lecturer	N	Seaside, CA, United States
01/2025 - Present	FARMERS INSURANCE	AGENCY PRODUCER	N	MONTEREY, CA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2024 - Present	Monterey Peninsula College	Part-time Instructor	N	Monterey, CA, United States
12/2022 - Present	Gavilan College	Part-time Business Instructor	N	Gilroy, CA, United States
01/2019 - Present	HARTNELL COLLEGE	BUSINESS INSTRUCTOR	N	SALINAS, CA, United States
05/2023 - 12/2024	PRINCIPAL SECURITIES	REGISTERED REP	Y	CARMEL, CA, United States
05/2023 - 12/2024	PRUCO SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	IRVINE, CA, United States
08/2022 - 05/2023	Farmers Insurance	Agency Producer	N	MONTEREY, CA, United States
05/2020 - 05/2023	Farmers Financial Solutions	Registered Representative	Y	MONTEREY, CA, United States
04/2005 - 03/2023	CAPELLA UNIVERSITY	INSTRUCTOR	N	MINNEAPOLIS, MN, United States
05/2020 - 07/2022	Farmers Insurance	Agent	N	Salinas, CA, United States
04/2006 - 08/2019	DEVRY UNIVERSITY	ADJUNCT INSTRUCTOR	N	NAPERVILLE, IL, United States
02/2011 - 12/2018	ARGOSY UNIVERSITY/EDMC	ADJUNCT INSTRUCTOR	N	ORANGE, CA, United States
05/2016 - 05/2018	FARMERS FINANCIAL SOLUTIONS	REGISTERED REP	Y	LAGUNA HILLS, CA, United States
12/2008 - 05/2018	KATYA WILLIAMS PHOTOGRAPHY	CONSULTANT	N	RANCHO STAMARG, CA, United States
09/2008 - 04/2018	ASHFORD UNIVERSITY/ BRIDGEPOINT	ADJUNCT INSTRUCTOR	N	CLINTON, IA, 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.

FARMERS INSURANCE
POSITION: agency producer NATURE: Insurance sales INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 08/13/2025

Registration and Employment History

Other Business Activities, continued

ADDRESS: Monterey CA 93940, United States
DESCRIPTION: Licensed insurance agent appointed with various insurance carriers.

GAVILAN COLLEGE
POSITION: adjunct part-time instructor NATURE: education - this is a public college INVESTMENT RELATED: No NUMBER OF HOURS: 24 SECURITIES TRADING HOURS: 0 START DATE: 01/27/2023
ADDRESS: Gilroy CA 95020, United States
DESCRIPTION: instruction of college-level business and accounting courses

HARTNELL COLLEGE
POSITION: business professor NATURE: College instructor for business and accounting classes INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 0 START DATE: 01/10/2019
ADDRESS: Salinas CA 93901, United States
DESCRIPTION: Instruction of business and accounting courses for a community college. This role is online and asynchronous through the end of 2020, at which time I might resume on-campus instruction during trading hours.

TRAVIS WILLIAMS
POSITION: owner NATURE: Ownership of two residential investment properties:
232 S Springside St, Ridgecrest, CA918 Valley View Rd, Enid, OK INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2006
ADDRESS: Monterey CA 93940, United States
DESCRIPTION: Coordinate with property managers regarding upkeep of properties and agreements with tenants.

CALIFORNIA STATE UNIVERSITY MONTEREY BAY
POSITION: lecturer NATURE: education - this is a public university INVESTMENT RELATED: No NUMBER OF HOURS: 24 SECURITIES TRADING HOURS: 0 START DATE: 01/10/2025
ADDRESS: Seaside CA 93955, United States
DESCRIPTION: teaching business courses to college students

MONTEREY PENINSULA COLLEGE
POSITION: adjunct part-time instructor NATURE: education - this is a public college INVESTMENT RELATED: No NUMBER OF HOURS: 24 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2024
ADDRESS: Monterey CA 93940, United States
DESCRIPTION: teaching business courses to college students

End of Report

This page is intentionally left blank.