



IAPD Report

KENNETH RAYMOND KIRKEBY

CRD# 1051705

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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

KENNETH RAYMOND KIRKEBY (CRD# 1051705)

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 **02/15/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LOMBARD SECURITIES INCORPORATED	CRD# 27954	09/09/2020
IA	LOMBARD ADVISERS INCORPORATED	CRD# 108231	09/09/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	PRIVATE CLIENT SERVICES, LLC	120222	BRIDGEPORT, TX	03/12/2019 - 08/27/2020
B	PRIVATE CLIENT SERVICES, LLC	120222	BRIDGEPORT, TX	03/04/2019 - 08/27/2020
IA	THORNHILL SECURITIES, INC.	22333	BRIDGEPORT, TX	06/12/2009 - 03/07/2019

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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LOMBARD SECURITIES INCORPORATED**
Main Address: 1820 LANCASTER STREET
SECOND FLOOR
BALTIMORE, MD 21231
Firm ID#: 27954

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	09/09/2020
	FINRA	General Securities Sales Supervisor	Approved	09/09/2020
	California	Agent	Approved	09/09/2020
	Connecticut	Agent	Approved	09/09/2020
	Florida	Agent	Approved	09/09/2020
	Georgia	Agent	Approved	04/18/2022
	Maine	Agent	Approved	09/09/2020
	Massachusetts	Agent	Approved	09/09/2020
	Missouri	Agent	Approved	10/17/2022
	New Jersey	Agent	Approved	09/09/2020
	New York	Agent	Approved	09/09/2020
	Pennsylvania	Agent	Approved	09/09/2020
	Texas	Agent	Approved	09/09/2020



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	09/09/2020

Branch Office Locations

Chico, TX

Employment 2 of 2

Firm Name: **LOMBARD ADVISERS INCORPORATED**
Main Address: 1820 LANCASTER ST
BALTIMORE, MD 21231
Firm ID#: 108231

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	09/09/2020

Branch Office Locations

LOMBARD ADVISERS INCORPORATED
1111 Halsell Street
Bridgeport, TX 76426



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/20/2003
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/25/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/1992
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/1984

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	03/12/2019 - 08/27/2020	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	BRIDGEPORT, TX
B	03/04/2019 - 08/27/2020	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	BRIDGEPORT, TX
IA	06/12/2009 - 03/07/2019	THORNHILL SECURITIES, INC.	CRD# 22333	BRIDGEPORT, TX
B	01/09/2009 - 03/07/2019	THORNHILL SECURITIES, INC.	CRD# 22333	BRIDGEPORT, TX
IA	03/04/2019 - 03/05/2019	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	BRIDGEPORT, TX
B	05/28/2008 - 03/19/2009	LPL FINANCIAL CORPORATION	CRD# 6413	DECATUR, TX
IA	05/28/2008 - 03/19/2009	LPL FINANCIAL CORPORATION	CRD# 6413	DECATUR, TX
B	05/19/2006 - 06/04/2008	NEXT FINANCIAL GROUP, INC.	CRD# 46214	CHESTER, NJ
IA	05/10/2006 - 06/04/2008	NEXT FINANCIAL GROUP, INC.	CRD# 46214	CHESTER, NJ
B	04/28/2006 - 05/10/2006	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	CHESTER, NJ
IA	04/28/2006 - 05/10/2006	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	CHESTER, NJ
IA	02/14/2003 - 05/02/2006	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	CHESTER, NJ
B	01/30/2003 - 05/02/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	CHESTER, NJ
IA	05/20/2002 - 02/18/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	MORRISTOWN, NJ
B	03/09/2002 - 02/18/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	11/05/1998 - 03/09/2002	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/18/1987 - 11/02/1998	JANNEY MONTGOMERY SCOTT INC.	CRD# 463	PHILADELPHIA, PA
B	08/17/1984 - 05/08/1987	TUCKER, ANTHONY & R. L. DAY, INC.	CRD# 837	
B	04/06/1984 - 07/30/1984	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	03/22/1983 - 02/27/1984	AMERICAN EAGLE SECURITIES, INC.	CRD# 12973	
B	03/22/1983 - 04/06/1983	VERRILLI ALTSCHULER SCHWARTZ INC.	CRD# 7203	

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
09/2020 - Present	Lombard Advisers Incorporated	Investment Adviser Representative	Y	Baltimore, MD, United States
09/2020 - Present	Lombard Securities Incorporated	Registered Representative	Y	Baltimore, MD, United States
03/2019 - 08/2020	PRIVATE CLIENT SERVICES	REGISTERED REP	Y	BRIDGEPORT, TX, United States
01/2009 - 02/2019	THORNHILL SECURITIES, INC.	REGISTERED REP	Y	AUSTIN, TX, 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) TRUE APPALOOSAS. 1195 CR 1560, CHICO, TX 76431. RAISE AND TRAIN HORSES. OWNER, TRAINER, LABORER. 60 HOURS/MO; 0 DURING TRADING HOURS.
- 2) Author - articles related to hunting and fishing for outdoor magazine(s). Compensation is less than \$1,000 per year.
- 3) Trustee of the Paul M. Yaniga Memorial Irrevocable Trust.



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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	HARDING TWP PD, MORRIS COUNTY, NY. AGENCY CASE NO. 2003 009 367.
Charge Date:	09/17/2003
Charge Details:	1) (3 COUNTS) - 1 COUNT POSSESSION OF HANDGUN; 1 COUNT NO PERMIT TO CARRY GUN; 1 COUNT TORTURE, MUTILATE, OR KILL ANIMAL 2)2 FELONIES 1 MISDEMEANOR. 3) NOT GUILTY 4)NON-INVESTMENT RELATED
Felony?	Yes
Current Status:	Final
Status Date:	12/18/2003
Disposition Details:	ALL CHARGES WERE DISMISSED 12/18/2003.
Broker Statement	ON AUGUST 18, 2003 MY HORSE COMPOUND FRACTURED HIS REAR LEG. BONE PROTRUDED 6 INCHES FROM FLESH. UNABLE TO REACH MY VET, I WAS FORCED TO EUTHANIZE THE HORSE BY SHOOTING HIM-THUS ENDING HIS SUFFERING.



End of Report

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