User Guidance

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IAPD Report

ROBERT LEONARD DEFREZE JR

CRD# 1051820

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

User Guidance

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Report Summary

ROBERT LEONARD DEFREZE JR (CRD# 1051820)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	08/18/2021
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	08/19/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	CADARET GRANT & CO INC	10641	ROCHESTER, NY	05/04/2021 - 08/20/2021
B	CADARET, GRANT & CO., INC.	10641	ROCHESTER, NY	03/12/2003 - 08/20/2021
B	VFINANCE INVESTMENTS, INC	44962	BOCA RATON, FL	11/21/2002 - 03/12/2003

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
Customer Dispute	2

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

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**

Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288898

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	08/18/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	08/18/2021
B	FINRA	Investment Co./Variable Contracts Prin	Approved	08/18/2021
B	Alabama	Agent	Approved	02/28/2024
B	Arizona	Agent	Approved	08/18/2021
B	California	Agent	Approved	08/18/2021
B	Colorado	Agent	Approved	08/18/2021
B	Florida	Agent	Approved	08/18/2021
B	Georgia	Agent	Approved	08/23/2021
B	Kentucky	Agent	Approved	08/18/2021
B	Maryland	Agent	Approved	02/11/2022
B	Michigan	Agent	Approved	08/18/2021
B	New Hampshire	Agent	Approved	01/03/2022

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	08/18/2021
B	New York	Agent	Approved	08/18/2021
B	North Carolina	Agent	Approved	08/18/2021
B	Ohio	Agent	Approved	08/18/2021
B	Pennsylvania	Agent	Approved	08/18/2021
B	South Carolina	Agent	Approved	08/31/2021
B	Tennessee	Agent	Approved	08/18/2021
B	Virginia	Agent	Approved	08/18/2021

Branch Office Locations

728 Weiland Road
Rochester, NY 14626

728 Weiland Rd
Rochester, NY 14626

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288792

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	08/02/2023
IA	Arizona	Investment Adviser Representative	Approved	11/08/2021
IA	Florida	Investment Adviser Representative	Approved	02/15/2022
IA	Michigan	Investment Adviser Representative	Approved	11/05/2021

Qualifications

	Regulator	Registration	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	02/15/2022
IA	New York	Investment Adviser Representative	Approved	08/19/2021
IA	North Carolina	Investment Adviser Representative	Approved	10/21/2021
IA	Ohio	Investment Adviser Representative	Approved	01/23/2022
IA	Pennsylvania	Investment Adviser Representative	Approved	03/10/2022
IA	South Carolina	Investment Adviser Representative	Approved	10/25/2021

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
728 Weiland Rd
Rochester, NY 14626

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	12/27/2006

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Direct Participation Programs Representative Examination (S22)	Series 22	10/18/1988
B	Non-Member General Securities Examination (S2)	Series 2	01/05/1979

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/15/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1987

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/04/2021 - 08/20/2021	CADARET GRANT & CO INC	CRD# 10641	ROCHESTER, NY
B	03/12/2003 - 08/20/2021	CADARET, GRANT & CO., INC.	CRD# 10641	ROCHESTER, NY
B	11/21/2002 - 03/12/2003	VFINANCE INVESTMENTS, INC	CRD# 44962	BOCA RATON, FL
B	07/13/1994 - 12/05/2002	PITTSFORD CAPITAL MARKETS, INC	CRD# 36406	PITTSFORD, NY
B	03/30/1994 - 07/12/1994	ALPHA CAPITAL CORPORATION	CRD# 15991	GRANVILLE, OH
B	09/25/1986 - 04/21/1994	ESSEX CAPITAL MARKETS, INC.	CRD# 11896	ROCHESTER, NY
B	08/18/1982 - 03/13/1987	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	

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
08/2021 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Registered Representative	Y	San Diego, CA, United States
08/2021 - Present	KINGSWOOD WEALTH ADVISORS, LLC	Investment Advisor	Y	San Diego, CA, United States
03/2005 - Present	DEFREZE FINANCIAL SERVICES	OWNER	Y	ROCHESTER, NY, United States
03/2003 - 08/2021	CADARET, GRANT & CO., INC.	REG REP	Y	ROCHESTER, NY, 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) DeFreze Financial Services
-yes

Registration & Employment History

OTHER BUSINESS ACTIVITIES

-728 Weiland Road, Rochester, NY 14626
-Financial Services
-owner
-11/1/98
-160 hours
-140 hours
All - operations, administration, management, client services

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
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PITTSFORD CAPITAL MARKETS
Allegations:	UNSUITABLE INVESTMENTS
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	$1,085,000.00

Customer Complaint Information

Date Complaint Received:	09/22/2004
Complaint Pending?	No
Status:	Litigation
Status Date:	09/22/2004
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	COUNTY OF MONROE - STATE OF NEW YORK SUPREME COURT DOC # 2004-10768
Date Notice/Process Served:	09/22/2004
Litigation Pending?	No
Disposition:	Settled

Disposition Date: 09/30/2005

Monetary Compensation Amount: $85,000.00

Individual Contribution Amount: $0.00

Broker Statement CLIENT INVESTED IN NUMEROUS LP'S AT MY FORMER BD AND FELT SHE WAS ENTITLED TO A FULL REFUND. HER NEPHEW IS AN ATTORNEY. I PAID OUR ATTORNEY $12,500 IN FEES.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PITTSFORD CAPITAL MARKETS

Allegations: CONSTRUCTIVE FRAUD BASED ON BREACH OF FIDUCIARY DUTY. TORTIOUS BREACH OF COVENANT OF GOOD FAITH AND FAIR DEALING. FRAUD BASED ON VIOLATION OF THE FEDERAL SECURITIES EXCHANGE ACT OF 1934. COMMON LAW FRAUD. NEGLIGENT MISREPRESENTATION. NEGLIGENCE AND NEGLIGENCE PER SE. DECLARATORY RELIEF. ACCOUNTING, REFERENCE TO A REFEREE. 1996.

Product Type: Other

Alleged Damages: $50,000.00

Customer Complaint Information

Date Complaint Received: 04/19/2002

Complaint Pending? No

Status: Litigation

Status Date: 02/19/2003

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT COURT FOR THE WESTERN DISTRICT OF NEW YORK. MONROE COUNTY. CIVIL ACTION #02 CV 6474(L)(SE)

Date Notice/Process Served: 06/21/2002

Litigation Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PITTSFORD CAPITAL MARKETS

Allegations: CLIENT ALLEGED UNSUITABLE INVESTMENTS ON TWO LIMITED PARTNERSHIP UNITS SOLD IN 1994 AND 1996.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: $50,000.00

Customer Complaint Information

Date Complaint Received:	04/19/2002
Complaint Pending?	No
Status:	Litigation
Status Date:	02/19/2003
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DISTRICT COURT FOR WESTERN DISTRICT OF NEW YORK. MONROE COUNTY CIVIL ACTION #02-CV-6474(L)(SE)
Date Notice/Process Served:	06/21/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/18/2003
Monetary Compensation Amount:	$32,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT INVESTED IN PRIVATE LLC AND FELT SHE WAS ENTITLED TO A FULL REFUND, AND HER SON IS AN ATTORNEY. I DID NOT CONTRIBUTE TOWARDS THE SETTLEDMENT, BUT DID PAY $12,000 IN ATTORNEY FEES.

End of Report

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