



IAPD Report

KENT LESLIE WYSE

CRD# 1070329

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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

KENT LESLIE WYSE (CRD# 1070329)

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 **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	03/01/1996
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	04/08/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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
B	G. R. PHELPS & CO., INC.	173	LOCATION	08/22/1983 - 03/01/1996

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	3
Financial	6



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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	03/01/1996
B	FINRA	Invest. Co and Variable Contracts	Approved	03/01/1996
B	FINRA	General Securities Representative	Approved	11/19/2001
B	Alaska	Agent	Approved	07/13/2004
B	Arizona	Agent	Approved	03/01/1996
B	California	Agent	Approved	03/01/1996
B	Colorado	Agent	Approved	03/01/1996
B	Florida	Agent	Approved	03/01/1996
B	Georgia	Agent	Approved	03/01/1996
B	Illinois	Agent	Approved	03/04/1997
B	Indiana	Agent	Approved	03/01/1996
B	Iowa	Agent	Approved	12/01/1999
B	Kansas	Agent	Approved	03/01/1996



Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	03/01/1996
B	Maine	Agent	Approved	04/06/2006
B	Maryland	Agent	Approved	03/01/1996
B	Massachusetts	Agent	Approved	03/01/1996
B	Michigan	Agent	Approved	03/01/1996
B	Mississippi	Agent	Approved	12/10/2008
B	Montana	Agent	Approved	06/02/2006
B	Nevada	Agent	Approved	04/27/2000
B	New Hampshire	Agent	Approved	04/30/2026
B	New York	Agent	Approved	03/01/1996
B	North Carolina	Agent	Approved	03/01/1996
B	Ohio	Agent	Approved	03/01/1996
IA	Ohio	Investment Adviser Representative	Approved	04/08/2002
B	Pennsylvania	Agent	Approved	03/01/1996
B	Rhode Island	Agent	Approved	03/01/1996
B	South Carolina	Agent	Approved	04/14/1997
B	Tennessee	Agent	Approved	01/17/2018
B	Texas	Agent	Approved	09/05/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	05/13/2016



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	03/01/1996
B Virginia	Agent	Approved	03/21/2006
B Washington	Agent	Approved	09/01/2000
B Wisconsin	Agent	Approved	04/05/2000

Branch Office Locations

MML INVESTORS SERVICES, LLC
6711 MONROE STREET
BUILDING V
SYLVANIA, OH 43560

MML INVESTORS SERVICES, LLC
218 DEPOT STREET
WAUSEON, OH 43567

MML INVESTORS SERVICES, LLC
41 S. HIGH STREET
LARUE, OH 43332



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/16/2001
Direct Participation Programs Representative Examination (S22)	Series 22	08/22/1984
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/19/1983

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/16/1986
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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
B	08/22/1983 - 03/01/1996	G. R. PHELPS & CO., INC.	CRD# 173	

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
03/1996 - Present	MML INVESTORS SERVICES, INC.	OTHER - Representative	Y	SYLVANIA, OH, 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.

NAME: SHAW- WYSE INV REL: Y ADD: 6711 MONROE ST, BLDG V, SYLVANIA, OH NATURE: LIFE AND HEALTH INS
POSITION: SALES, AGENT START DATE: 09/01/2000 HR/MO: 4 HR/MO DURING SEC TRADING: 2 (2) NAME: SHAW-WYSE
INC. INV REL: Y ADD: 6711 MONROE STREET BLDG V SYLVANIA OH 43560 NATURE: RENT UNUSED OFFICE SPACE
POSITION: OWNER START DATE: 9/01/2000 HR/MO: 4 HR/MO DURING SEC TRADING: 0



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	3
Financial	6

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that in 2017, the rep told him that his existing annuity was too risky and recommended that he use the proceeds from that annuity to purchase a new variable annuity, which he states that he didn't want and has lost value.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to make a good faith determination that potential damages from the alleged conduct would be less than \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/25/2018
Complaint Pending?	No
Status:	Denied



Status Date: 12/28/2018

Settlement Amount:

Individual Contribution Amount:

Broker Statement Internal case #201833224.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: THE COMPLAINANT ALLEGES THAT HE WAS UNAWARE THAT THERE WOULD BE SALES CHARGES OR TAXES RELATED TO A 2014 REPLACEMENT AND THE INITIALS ON HIS REPLACEMENT FORM INDICATING HIS KNOWLEDGE OF THIS ARE NOT HIS.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/19/2015

Complaint Pending? No

Status: Settled

Status Date: 06/25/2015

Settlement Amount: \$2,257.00

Individual Contribution Amount: \$2,257.00

Broker Statement INTERNAL CASE #201522345.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, INC.

Allegations: CUSTOMER ALLEGED THAT REGISTERED REPRESENTATIVE KENT WYSE FAILED TO DISCLOSE MONTHLY AND/OR SURRENDER CHARGES DURING HIS PURCHASE OF THE UNIVERSAL VARIABLE LIFE POLICIES IN AUGUST AND SEPTEMBER 2000.



Product Type: Insurance
Alleged Damages: \$32,888.00

Customer Complaint Information

Date Complaint Received: 03/13/2002
Complaint Pending? No
Status: Denied
Status Date: 04/01/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE COMPLAINT WAS DENIED AS NO MERITS WERE FOUND FOR ALLEGATIONS.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 05/04/2021
Organization Investment-Related?
Type of Court: State Court
Name of Court: State of Michigan 2-1 District Court
Location of Court: Adrian, MI.
Docket/Case #: 21-0879-GCP
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 05/06/2021
If a compromise with creditor, provide:
Name of Creditor: Jefferson Capital Systems
Original Amount Owed: \$16,238.81
Terms Reached with Creditor: Settled for one payment of \$10,000.00

Disclosure 2 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 12/31/2020
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 01/05/2021
If a compromise with creditor, provide:
Name of Creditor: American Express National Bank C/O Zwicker & Associates PC
Original Amount Owed: \$21,442.31
Terms Reached with Creditor: Settled for one payment of \$11,000.00.



Disclosure 3 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 01/10/2020
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 02/06/2020
If a compromise with creditor, provide:
Name of Creditor: Velocity Investments, LLC (Original creditor name: Lending Club Corp. Assignee of Webbank)
Original Amount Owed: \$10,104.77
Terms Reached with Creditor: Original amount owed 10104.77. Settled for \$5053.38

Disclosure 4 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 06/26/2019
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 06/28/2019
If a compromise with creditor, provide:
Name of Creditor: American Express National Bank
Original Amount Owed: \$3,256.33
Terms Reached with Creditor: Agreed to settle for \$2300.00 account number ending xxxxxxxxxx41006.

Disclosure 5 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 06/25/2019



Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 07/11/2019

If a compromise with creditor, provide:

Name of Creditor: American Express National Bank

Original Amount Owed: \$28,334.70

Terms Reached with Creditor: Agreed to settlement of \$18,600.00. Account numbers ending XXXXXXXXXXX13001 and XXXXXXXXXXX56004.

Disclosure 6 of 6

Reporting Source: Individual

Action Type: Compromise

Action Date: 07/09/2019

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 07/24/2019

If a compromise with creditor, provide:

Name of Creditor: American Express

Original Amount Owed: \$5,910.85

Terms Reached with Creditor: Agreed to settle for \$3250.00 account number ending XXXXXXXXXXX31005.



End of Report

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