



IAPD Report

KEVIN ROYCE WAGNER

CRD# 1070463

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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

KEVIN ROYCE WAGNER (CRD# 1070463)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	06/01/2018
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	06/01/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	NATIONWIDE SECURITIES, LLC	11173	JACKSONVILLE, NC	08/01/2008 - 06/01/2018
B	NATIONWIDE SECURITIES, LLC	11173	JACKSONVILLE, NC	06/04/2002 - 06/01/2018
IA	1717 CAPITAL MANAGEMENT COMPANY	4082	RALEIGH, NC	02/01/2007 - 08/01/2008

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
Customer Dispute	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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
	FINRA	Direct Participation Programs	Approved	06/01/2018
	FINRA	General Securities Principal	Approved	06/01/2018
	FINRA	General Securities Representative	Approved	06/01/2018
	FINRA	Invest. Co and Variable Contracts	Approved	06/01/2018
	FINRA	Investment Co./Variable Contracts Prin	Approved	06/01/2018
	Alabama	Agent	Approved	06/01/2018
	California	Agent	Approved	06/01/2018
	Connecticut	Agent	Approved	10/11/2022
	Florida	Agent	Approved	08/20/2018
	Georgia	Agent	Approved	06/01/2018
	Illinois	Agent	Approved	06/01/2018
	Kentucky	Agent	Approved	07/19/2018
	Maine	Agent	Approved	05/14/2021



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	08/10/2020
B	Nevada	Agent	Approved	02/13/2020
B	New Hampshire	Agent	Approved	09/30/2021
B	New Mexico	Agent	Approved	09/14/2021
B	New York	Agent	Approved	09/14/2021
B	North Carolina	Agent	Approved	06/01/2018
B	Ohio	Agent	Approved	09/04/2018
B	Oregon	Agent	Approved	06/01/2018
B	Pennsylvania	Agent	Approved	06/01/2018
B	South Carolina	Agent	Approved	06/01/2018
B	Tennessee	Agent	Approved	06/01/2018
B	Texas	Agent	Approved	05/12/2021
B	Virginia	Agent	Approved	11/15/2019
B	West Virginia	Agent	Approved	06/01/2018

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
207-A Western Boulevard
Jacksonville, NC 28546

CAMBRIDGE INVESTMENT RESERARCH, INC.
2313 Randolph Rd.
Charlotte, NC 28207

CAMBRIDGE INVESTMENT RESERARCH, INC.
4815 Oleander Dr.
Ste. 100
Wilmington, NC 28403

CAMBRIDGE INVESTMENT RESERARCH, INC.
Raleigh, NC

Employment 2 of 2



Qualifications

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 134139

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	06/01/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	05/13/2021

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
207 Western Boulevard
Jacksonville, NC 28546

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
2313 Randolph Rd.
Charlotte, NC 28207

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
4815 Oleander Dr.
Ste. 100
Wilmington, NC 28403

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
Raleigh, NC



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, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/19/2006
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/30/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/27/2003
B	Direct Participation Programs Representative Examination (S22)	Series 22	12/11/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/15/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/23/2006
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/30/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/05/1983



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	08/01/2008 - 06/01/2018	NATIONWIDE SECURITIES, LLC	CRD# 11173	JACKSONVILLE, NC
B	06/04/2002 - 06/01/2018	NATIONWIDE SECURITIES, LLC	CRD# 11173	JACKSONVILLE, NC
IA	02/01/2007 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	RALEIGH, NC
B	12/18/2006 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	RALEIGH, NC
B	04/05/2001 - 05/07/2002	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ
B	09/28/1999 - 12/09/2000	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	07/28/1983 - 09/10/1999	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
06/2018 - Present	Cambridge Investment Research Advisors, Inc.	Investment Adviser Representative	Y	Fairfield, IA, United States
06/2018 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
12/2006 - Present	1717 CAPITAL MANAGEMENT COMPANY	REGISTERED REP	Y	NEWARK, DE, United States
08/2008 - 06/2018	NATIONWIDE SECURITIES, INC.	Mass Transfer	Y	RALEIGH, NC, United States
12/2006 - 06/2018	NATIONWIDE FINANCIAL NETWORK	TERRITORY SALES DIRECTOR	Y	NEWARK, DE, United States
05/2002 - 06/2018	NATIONWIDE INSURANCE	REGIONAL MARKETING DIRECTOR	N	COLUMBUS, OH, United States
05/2002 - 06/2018	NATIONWIDE SECURITIES	REGIONAL MARKETING DIRECTOR	Y	DUBLIN, OH, United States



Registration & Employment History



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.CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL - 1/WK - 1/TRADING. SEE EMPLOYMENT HISTORY FOR START DATE.
- 2.Best Rates for Insurance the Wagner Group Inc, 207 WESTERN BLVD, STE A, JACKSONVILLE, NC, 10/01/2021, President, Insurance/Benefits/Human Resources, INV REL - 4HR/MO - 3/TRADING.
- 3.PAW INVESTMENTS LLC, RALEIGH, NC, 2/2008 AS MANAGER OF ENTITY TO HOLD REAL ESTATE AND INVESTMENTS. NIR - 2/MO - 0/TRADING.
- 4.ARROWSTAR FINANCIAL INC.,, 207A Western Blvd, Jacksonville NC 28546, 11/2022, Investment Advisor Representative. DBA Name, INV REL - 5 /WK - 5 /TRADING.



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
Customer Dispute	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
Formal Charges were brought in:	State Court
Name of Court:	DELAWARE COUNTY MUNICIPAL COURT & COMMON PLEAS COURT
Location of Court:	DELAWARE COUNTY, OHIO
Docket/Case #:	12CRA01248 - MUNICIPAL COURT (NO FORMAL ACTION); 12CRI070288 - COMMON PLEAS COURT (PENDING)
Charge Date:	07/19/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	GROSS SEXUAL IMPOSITION
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO PLEA
Disposition of charge:	THERE HAS BEEN NO INDICTMENT RETURNED WITH RESPECT TO THE COURT OF COMMON PLEAS CASE
Current Status:	Final
Status Date:	04/23/2013
Disposition Date:	04/23/2013
Sentence/Penalty:	N/A - CASE DISMISSED



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: REGARDING SEVERAL 1993 VARIABLE APPRECIABLE LIFE POLICIES, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN AGAINST THE DISTRICT MANAGER. THIS MATTER IS BEING REPORTED BECAUSE THE COMPLAINT HAS ALLEGED NO DOLLAR AMOUNT AND THE FIRM HAS NOT MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN \$5,000.

Product Type: Insurance

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/07/2004

Complaint Pending? No

Status: Denied

Status Date: 10/27/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH PRUDENTIAL, ITS INSURANCE AFFILIATES AND PERSONNEL WERE RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE CLASS ACTION SETTLEMENT REMEDIATION PROCESSES FOR ADDRESSING CLAIMS FOR POLICIES INCLUDED IN THE CLASS HAVE CONCLUDED. BECAUSE THE COMPANY AND THE REPRESENTATIVE(S) WERE RELEASED FROM ANY FURTHER LIABILITY OR OBLIGATION WITH RESPECT TO CLAIMS LIKE THOSE MADE BY THE POLICYHOLDER, THE COMPANY IS NOT REVIEWING THIS INQUIRY AND IS MAKING NO FINDING OR FURTHER FILING REGARDING THIS INQUIRY.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: REGARDING SEVERAL 1993 VARIABLE APPRECIABLE LIFE POLICIES, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED



PAYMENT PLAN AGAINST ME, THE DISTRICT MANAGER. THIS MATTER IS BEING REPORTED BECAUSE THE COMPLAINT HAS ALLEGED NO DOLLAR AMOUNT AND THE FIRM HAS NOT MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN \$5,000.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 10/07/2004

Complaint Pending? No

Status: Denied

Status Date: 10/27/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH PRUDENTIAL, IT'S INSURANCE AFFILIATES, AND PERSONNEL WERE CONCERNING LIFE INSURANCE SALES PRACTICES. THE CLASS ACTION SETTLEMENT PROCESS FOR ADDRESSING CLAIMS FOR POLICIES INCLUDED IN THE CLASS HAVE CONCLUDED. BECAUSE THE COMPANY AND IT'S REPRESENTATIVES WERE RELEASED FROM ANY FURTHER LIABILITY OR OBLIGATION WITH RESPECT TO CLAIMS LIKE THOSE MADE BY THE POLICYHOLDER, PRUDENTIAL IS NOT REVIEWING THIS INQUIRY AND IS MAKING NO FINDING OR FURTHER FILING REGARDING THIS INQUIRY.



End of Report

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