



## IAPD Report

# KENNETH ANTHONY MADSEN

CRD# 1126819

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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

### KENNETH ANTHONY MADSEN (CRD# 1126819)

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 **07/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/20/2022
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	North Richland Hills, TX	08/02/2022 - 06/29/2023
<b>B</b>	FFEC WEALTH PARTNERS LLC	16507	SCOTTSDALE, AZ	04/08/2020 - 10/24/2022
<b>B</b>	IMPACTIVE ADVISORS LLC	208514	NASHVILLE, TN	11/16/2016 - 06/02/2017

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?

**No**



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

### Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	04/20/2022
	FINRA	General Securities Representative	Approved	04/20/2022
	FINRA	General Securities Sales Supervisor	Approved	04/20/2022
	FINRA	Municipal Securities Principal	Approved	04/20/2022
	FINRA	Municipal Securities Representative	Approved	04/20/2022
	FINRA	Registered Options Principal	Approved	04/20/2022
	Colorado	Agent	Approved	04/21/2022
	Florida	Agent	Approved	08/28/2024
	Georgia	Agent	Approved	02/06/2025
	Idaho	Agent	Approved	01/23/2024
	Massachusetts	Agent	Approved	01/21/2025
	Minnesota	Agent	Approved	04/12/2024
	Missouri	Agent	Approved	11/01/2024



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oklahoma	Agent	Approved	03/14/2024
<b>B</b> Texas	Agent	Approved	12/06/2023

## Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
5655 S YOSEMITE STE 300  
GREENWOOD VILLAGE, CO 80111

**CETERA ADVISOR NETWORKS LLC**  
7373 N SCOTTSDALE RD STE A250  
SCOTTSDALE, AZ 85253

## Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096  
Firm ID#: 105644

Regulator	Registration	Status	Date
<b>IA</b> Colorado	Investment Adviser Representative	Approved	06/29/2023
<b>IA</b> Texas	Investment Adviser Representative	Approved	10/20/2023

## Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
5655 S YOSEMITE STE 300  
GREENWOOD VILLAGE, CO 80111

**CETERA INVESTMENT ADVISERS LLC**  
7047 E GREENWAY PKWY. STE 350  
SCOTTSDALE, AZ 85254










## 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 7 principal/supervisory exams, 3 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	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	02/21/1992
 Compliance Officer Examination (S14)	Series 14	02/25/1990
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/07/1988
 General Securities Principal Examination (S24)	Series 24	04/19/1988
 Registered Options Principal Examination (S4)	Series 4	11/03/1986

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	06/02/2017
 Futures Managed Funds Examination (S31)	Series 31	08/29/2005
 General Securities Representative Examination (S7)	Series 7	02/18/1984

#### State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/29/2022



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/16/1984

### 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	08/02/2022 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	North Richland Hills, TX
B	04/08/2020 - 10/24/2022	FFEC WEALTH PARTNERS LLC	CRD# 16507	SCOTTSDALE, AZ
B	11/16/2016 - 06/02/2017	IMPACTIVE ADVISORS LLC	CRD# 208514	NASHVILLE, TN
B	12/10/2013 - 02/24/2016	W&S BROKERAGE SERVICES, INC.	CRD# 8099	CINCINNATI, OH
B	07/09/2012 - 07/31/2012	CINCINNATI ANALYSTS, INC.	CRD# 5478	CINCINNATI, OH
B	06/01/2012 - 06/15/2012	LINCOLN INVESTMENT	CRD# 519	CINCINNATI, OH
B	09/09/2009 - 06/01/2012	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	CINCINNATI, OH
B	02/24/1984 - 09/08/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	DETROIT, MI

### 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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
03/2023 - Present	DIAMOND GENERATIONAL WEALTH LLC	OWNER	Y	ELIZABETH, CO, United States
04/2022 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
04/2022 - Present	FFEC WEALTH PARTNERS	EMPLOYEE	Y	SCOTTSDALE, AZ, United States
01/2016 - 12/2023	EXPERT SECURITIES SUPPORT LLC	OWNER	Y	SARASOTA, FL, United States
04/2022 - 10/2022	FIRST FINANCIAL EQUITY CORPORATION	CHIEF COMPLIANCE OFFICER	Y	SCOTTSDALE, AZ, United States
12/2016 - 06/2018	Simply Money Advisors	Chief Compliance Officer	Y	Cincinnati, OH, United States





## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 06/2017	Impactive Advisors LLC	Chief Compliance Officer	Y	Nashville, TN, United States
11/2013 - 01/2016	W&S BROKERAGE SERVICES	Chief Compliance Officer	Y	CINCINNATI, OH, United States
09/2012 - 01/2016	WESTERN SOUTHERN LIFE	AVP, COMPLIANCE	N	CINCINNATI, 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.

1. NAME OF OTHER BUSINESS: FINRA

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL REGULATOR

START DATE: 06/2016

POSITION/TITLE/RELATIONSHIP: ARBITRATOR

APX NUMBER OF HOURS PER WEEK: NONE

APX NUMBER OF HOURS DURING TRADING HOURS: NONE

BRIEF DESCRIPTION OF DUTIES: IF SELECTED, I ARBITRATE FINRA HEARINGS;

2. NAME OF OTHER BUSINESS: FFEC WEALTH PARTNERS

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 04/2022

POSITION/TITLE/RELATIONSHIP: EMPLOYEE

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 40

BRIEF DESCRIPTION OF DUTIES: PROVIDE SUPPORTING DUTIES;

3. NAME OF OTHER BUSINESS: DIAMOND GENERATIONAL WEALTH LLC;

INVESTMENT RELATED: YES,

ADDRESS: SAME AS RESIDENTIAL LOCATION,

NATURE OF BUSINESS: FINANCIAL SERVICES,

START DATE: 3/2023,

POSITION/TITLE/RELATIONSHIP: OWNER,

APX NUMBER OF HOURS PER WEEK: 40,

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

4. NAME OF OTHER BUSINESS: INDEPENDENCE CLASSICAL ACADEMY;

INVESTMENT RELATED: NO;

ADDRESS: 634 S. ELBERT STREET, ELIZABETH, CO 80107;

NATURE OF BUSINESS: EDUCATION;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

START DATE: 05/2024;  
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER/TREASURER;  
APX NUMBER OF HOURS PER WEEK: 5;  
APX NUMBER OF HOURS DURING TRADING HOURS: 0;  
BRIEF DESCRIPTION OF DUTIES: OVERSIGHT FILING OF CHARTER, REVIEW CURRICULUM, ESTABLISH BANK ACCOUNT, REVIEW FINANCIALS, OVERSIGHT OF RUNNING SCHOOL;



## End of Report

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