



IAPD Report

KENNETH VON KOHORN

CRD# 1163037

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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 VON KOHORN (CRD# 1163037)

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 **02/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VON KOHORN RESEARCH & ADVISORY, INC.	CRD# 139516	01/10/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	VON KOHORN RESEARCH & ADVISORY, INC.	139516	WESTPORT, CT	01/09/2017 - 12/31/2018
IA	VON KOHORN RESEARCH & ADVISORY, INC.	139516	WESTPORT, CT	09/20/2012 - 12/31/2016
IA	VON KOHORN RESEARCH & ADVISORY, INC.	139516	WESTPORT, CT	07/27/2009 - 06/27/2012

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
Regulatory Event	4
Civil Event	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VON KOHORN RESEARCH & ADVISORY, INC.**
Main Address: 2 HIGHMEADOW
NORWALK, CT 06854
Firm ID#: 139516

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	01/10/2019

Branch Office Locations

VON KOHORN RESEARCH & ADVISORY, INC.
2 HIGHMEADOW
NORWALK, CT 06854





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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	02/18/1984
 General Securities Principal Examination (S24)	Series 24	11/28/1983

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	10/15/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/2009

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	01/09/2017 - 12/31/2018	VON KOHORN RESEARCH & ADVISORY, INC.	CRD# 139516	WESTPORT, CT
IA	09/20/2012 - 12/31/2016	VON KOHORN RESEARCH & ADVISORY, INC.	CRD# 139516	WESTPORT, CT
IA	07/27/2009 - 06/27/2012	VON KOHORN RESEARCH & ADVISORY, INC.	CRD# 139516	WESTPORT, CT
B	09/29/1988 - 04/28/1995	MERWIN ASSOCIATES LIMITED PARTNERSHIP	CRD# 22733	WESTPORT, CT
B	12/22/1983 - 11/30/1990	EQUITY LIMITED PARTNERSHIP 80	CRD# 13802	
B	03/21/1985 - 12/10/1985	EAGLE I LIMITED PARTNERSHIP	CRD# 15858	

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
02/1976 - Present	VON KOHORN RESEARCH & ADVISORY, INC.	SOLE PROPRIETOR	Y	WESTPORT, CT, 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.

FAMILY INSTITUTE OF CT, 77 BUCKINGHAM ST., HARTFORD, CT 06106, BOARD CHAIRMAN and Treasurer, PUBLIC POLICY NOT FOR PROFIT, 1990, 05HRS/MO., NONE DURING TRADING HRS, NOT INVESTMENT RELATED, NO COMPENSATION, ATTEND BOARD MEETINGS. Highmeadow Homeowners Association, 2 Highmeadow, Norwalk, CT 06854, President, not for profit, 2020, less than one hour per month, not during trading hours, not investment related, will not receive compensation, handle management of the homeowners association.



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
Regulatory Event	4
Civil Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	CONNECTICUT DEPARTMENT OF BANKING
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	11/01/1997
Docket/Case Number:	CO 98-5103
Employing firm when activity occurred which led to the regulatory action:	VON KOHORN RESEARCH AND ADVISORY, INC.
Product Type:	Other
Other Product Type(s):	SEC-REGISTERED INVESTMENT ADVISER
Allegations:	COMPENSATION PAID TO NON-REGISTERED INDIVIDUALS FOR CLIENT REFERRALS
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/13/1998
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine \$5,630.00
Other Sanctions Ordered:	
Sanction Details:	ORDER TO PAY \$5000 ADMINISTRATIVE FINE AND \$630 BACK



REGISTRATION FEES.

Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: CONNECTICUT DEPARTMENT OF BANKING

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 09/01/1995

Docket/Case Number: CO 96-2784-S

Employing firm when activity occurred which led to the regulatory action: VON KOHORN RESEARCH AND ADVISORY, INC.

Product Type: Other

Other Product Type(s): SEC-REGISTERED INVESTMENT ADVISER

Allegations: UNDISCLOSED FEES CHARGED TO INVESTORS

Current Status: Final

Resolution: Consent

Resolution Date: 03/14/1996

Sanctions Ordered: Bar
Cease and Desist/Injunction
Monetary/Fine \$15,000.00

Other Sanctions Ordered: HIRE AN INDEPENDENT COMPLIANCE CONSULTANT, ORDER TO REPORT ALL SECURITIES RELATED COMPLAINTS FOR TWO YEARS, REQUIRED TO PASS SERIES 65 EXAM.

Sanction Details: THREE MONTH BAR FROM ADVISING NEW CLIENTS; \$15,000 FINE.

Disclosure 3 of 4

Reporting Source: Individual

Regulatory Action Initiated By: SEC

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 08/01/1994

Docket/Case Number: FILE NO. 3-8624

Employing firm when activity occurred which led to the regulatory action: VON KOHORN RESEARCH AND ADVISORY, INC.

Product Type: Other



Other Product Type(s):	SEC-REGISTERED INVESTMENT ADVISER
Allegations:	FAILURE TO DISCLOSE FEES CHARGED TO INVESTORS BY RELATED UNDERLYING FUNDS; FAILURE TO DISCLOSE AND UPDATE INFORMATION REQUIRED ON FORM ADV; VIOLATION OF EXEMPTION UNDER SECTION 3(C)(1) OF INVESTMENT COMPANY ACT
Current Status:	Final
Resolution:	Consent
Resolution Date:	02/22/1995
Sanctions Ordered:	Bar Cease and Desist/Injunction Censure Disgorgement/Restitution Monetary/Fine \$250,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	ONE YEAR BAR FROM REGISTRATION AS AN INVESTMENT ADVISER OR BROKER-DEALER; DISGOREGEMENT OF \$248,021.33, INTEREST OF \$45,648.78 AND FINE OF \$250,000.
Disclosure 4 of 4	
Reporting Source:	Regulator
Regulatory Action Initiated By:	CONNECTICUT
Sanction(s) Sought:	Injunction
Other Sanction(s) Sought:	
Date Initiated:	10/15/2007
Docket/Case Number:	HHD-CV-07-4027611 S
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	LIMITED PARTNERSHIP INTERESTS; ADVISORY SERVICES
Allegations:	ON OCTOBER 15, 2007, THE SUPERIOR COURT FOR THE JUDICIAL DISTRICT OF HARTFORD ENTERED A JUDGMENT IN ACCORDANCE WITH STIPULATION IN THE MATTER OF PITKIN V. KENNETH VON KOHORN (DOCKET NO. HHD-CV-07-4027611 S). THE MOTION FOR JUDGMENT IN ACCORDANCE WITH STIPULATION PRECEDING THE JUDGMENT AND FILED BY THE BANKING COMMISSIONER HAD CLAIMED THAT KENNETH VON KOHORN 1) VIOLATED SECTION 36B-6 OF THE CONNECTICUT UNIFORM SECURITIES ACT AS WELL AS TWO CONSENT ORDERS ENTERED AGAINST VON KOHORN IN 1996 AND 1998 BY TRANSACTING BUSINESS AS AN INVESTMENT ADVISER WHILE UNREGISTERED; AND 2) SOLD LIMITED PARTNERSHIP INTERESTS IN VALUE INVESTORS, LP WITHOUT HAVING MADE THE REQUISITE FILING UNDER SECTION 36B-21(E) OF THE CONNECTICUT UNIFORM SECURITIES ACT.
Current Status:	Final



Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/15/2007

Sanctions Ordered: Cease and Desist/Injunction
Monetary/Fine \$35,000.00

Other Sanctions Ordered: WITHOUT ADMITTING OR DENYING THE COMMISSIONER'S ALLEGATIONS, VON KOHORN STIPULATED AND AGREED TO THE ENTRY OF A PERMANENT INJUNCTION ENJOINING HIM FROM VIOLATING THE CONNECTICUT UNIFORM SECURITIES ACT, ITS REGULATIONS AND THE 1996 AND 1998 CONSENT ORDERS. IN ADDITION, VON KOHORN AGREED TO PAY A \$35,000 FINE AND, FOR FIVE YEARS, TO RETAIN A COMPLIANCE CONSULTANT OTHER THAN HIMSELF TO ENSURE THAT HE WAS ABIDING BY ALL APPLICABLE SECURITIES LAWS AND REGULATIONS.

Sanction Details: SEE RESPONSE TO ITEM 13.B.

Reporting Source: Individual

Regulatory Action Initiated By: CONNECTICUT DEPARTMENT OF BANKING AND CONNECTICUT STATE SUPERIOR COURT

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 04/01/2006

Docket/Case Number: HHD-CV-07-4027611S

Employing firm when activity occurred which led to the regulatory action: VON KOHORN RESEARCH AND ADVISORY, INC.

Product Type: Other

Other Product Type(s): SEC-REGISTERED INVESTMENT ADVISER

Allegations: VIOLATED CONSENT ORDERS IN 1998 AND 1996, FAILURE TO REGISTER AS AN INVESTMENT ADVISER IN CONNECTICUT, FAILURE TO FILE NOTICES OF EXEMPTION FROM REGISTRATION FOR OFFERING OF LIMITED PARTNERSHIP INTERESTS IN CONNECTICUT

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 10/15/2007

Sanctions Ordered: Cease and Desist/Injunction
Monetary/Fine \$35,000.00

Other Sanctions Ordered: REQUIREMENT TO HIRE A COMPLIANCE OFFICER FOR FIVE YEARS

Sanction Details: ORDER TO MAINTAIN CERTAIN RECORDS FOR SIX YEARS, ORDER TO HIRE A COMPLIANCE OFFICER FOR FIVE YEARS, ORDER TO PAY \$35,000 FINE



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Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	STATE OF CONNECTICUT BANKING DEPARTMENT
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Injunction
Date Court Action Filed:	04/01/2006
Product Type:	Direct Investment-DPP & LP Interests
Type of Court:	State Court
Name of Court:	HARTFORD SUPERIOR COURT
Location of Court:	HARTFORD, CT
Docket/Case #:	HHD-CV-07-4027611S
Employing firm when activity occurred which led to the action:	VON KOHORN RESEARCH AND ADVISORY, INC.
Allegations:	ACTED AS AN INVESTMENT ADVISOR ABSENT REGISTRATION AND OFFERED AND SOLD LIMITED PARTNERSHIP INTERESTS WITHOUT FILING REQUIRED EXEMPTION NOTICES.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	10/15/2007
Sanctions Ordered or Relief Granted:	Civil and Administrative Penalty(ies)/Fine(s) Injunction
Capacities 1 of 1	
Capacities Affected:	NO
Duration:	PERMANENT
Start Date:	10/15/2007
End Date:	
Monetary Sanction 1 of 1	
Monetary Sanction:	Monetary Fine
Total Amount:	\$35,000.00
Portion against individual:	
Date Paid:	10/15/2007
Portion Waived:	No
Amount Waived:	
Broker Statement	UPON ROUTINE REVIEW BY OUTSIDE COUNSEL IT WAS NOTICED THAT THE ORIGINAL DRP THAT WAS FILED WAS INCOMPLETE REQUIRING THIS DRP BE FILED FOR THE CIVIL JUDICIAL/INJUNCTION.



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