IAPD Report

TIMOTHY BRIAN KENYON

CRD# 1324495

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

TIMOTHY BRIAN KENYON (CRD# 1324495)

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 **04/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2021
IA	LPL FINANCIAL LLC	CRD# 6413	11/29/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	TRIAD ADVISORS LLC	25803	Somerville, NJ	08/16/2017 - 12/02/2021
IA	TRIAD ADVISORS, LLC	25803	Somerville, NJ	08/16/2017 - 12/02/2021
B	GWN SECURITIES INC.	128929	Somerville, NJ	11/14/2014 - 08/16/2017

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/29/2021
B	FINRA	General Securities Representative	Approved	11/29/2021
B	Arizona	Agent	Approved	11/29/2021
B	California	Agent	Approved	11/29/2021
B	Connecticut	Agent	Approved	11/29/2021
B	Florida	Agent	Approved	11/29/2021
B	Georgia	Agent	Approved	11/29/2021
B	Idaho	Agent	Approved	11/29/2021
B	Kansas	Agent	Approved	11/29/2021
B	Maine	Agent	Approved	04/25/2022
B	Michigan	Agent	Approved	06/06/2024
B	Montana	Agent	Approved	04/01/2025
B	New Jersey	Agent	Approved	11/29/2021

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	12/03/2021
B	New York	Agent	Approved	11/29/2021
B	North Carolina	Agent	Approved	12/08/2021
B	Oregon	Agent	Approved	11/29/2021
B	Pennsylvania	Agent	Approved	11/29/2021
B	South Carolina	Agent	Approved	12/13/2021
B	Texas	Agent	Approved	11/29/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/29/2021
B	Vermont	Agent	Approved	11/29/2021
B	Virginia	Agent	Approved	12/04/2021
B	Washington	Agent	Approved	11/29/2021

Branch Office Locations

LPL FINANCIAL LLC
92 E. MAIN ST., SUITE 205
SOMERVILLE, NJ 08876

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/21/1992

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	02/16/1985

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/2002

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	08/16/2017 - 12/02/2021	TRIAD ADVISORS LLC	CRD# 25803	Somerville, NJ
IA	08/16/2017 - 12/02/2021	TRIAD ADVISORS, LLC	CRD# 25803	Somerville, NJ
B	11/14/2014 - 08/16/2017	GWN SECURITIES INC.	CRD# 128929	Somerville, NJ
IA	11/14/2014 - 08/16/2017	GWN SECURITIES INC.	CRD# 128929	Somerville, NJ
IA	05/24/2010 - 12/12/2014	IC ADVISORY SERVICES, INC.	CRD# 140190	WARREN, NJ
B	05/21/2010 - 12/12/2014	THE INVESTMENT CENTER, INC.	CRD# 17839	WARREN, NJ
IA	01/23/2009 - 06/09/2010	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LAVISTA, NE
B	01/23/2009 - 06/09/2010	SECURITIES AMERICA, INC.	CRD# 10205	WARREN, NJ
IA	06/26/2007 - 02/07/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	PARSIPPANY, NJ
B	06/26/2001 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	PARSIPPANY, NJ
B	06/24/1996 - 06/22/2001	LINCOLN INVESTMENT PLANNING, INC.	CRD# 519	FORT WASHINGTON, P.
B	07/10/1992 - 06/29/1996	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	04/03/1991 - 07/13/1992	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	11/19/1989 - 12/18/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	07/20/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	02/05/1986 - 07/27/1987	MONY SECURITIES CORP.	CRD# 4386	

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	02/21/1985 - 01/10/1986	CALVERT SECURITIES CORPORATION	CRD# 14035	

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
11/2021 - Present	LPL Financial LLC	Registered Representative	Y	Somerville, NJ, United States
08/2017 - 11/2021	Triad Advisors, Inc.	Registered Representative/Investment Advisor Representative	Y	Norcross, GA, United States
11/2014 - 08/2017	GWN SECURITIES INC	REG REP.	Y	PALM BEACH GARDENS, FL, 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) 11/2021- Financial Resources- DBA for LPL Business (entity for LPL business)- inv. related- Somerville, NJ
2) 11/2021- BOOK OF BROKERS- Non-Variable Insurance- Agent selling Term and Universal Life, LTC - inv. related- Somerville, NJ - 2hrs/mth
3) 11/2021- Gladstone Wealth Partners- DBA for LPL Business (entity for LPL business)- inv. related- Somerville, NJ
4) 2/7/2023 - Ash / CRUMP - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Producer / Broker / Service Agent / Agent of Record - Start Date - 10/01/2022 - 2 Hours Per Month/1 Hours During Securities 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
Customer Dispute	3

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:	Triad Advisors
Allegations:	The customers' son, acting as the attorney for his father's estate and for his mother, alleges an unsuitable investment strategy and complains of associated portfolio losses. Note that the complained of investment strategy and portfolio positions predated the customers' relationship with the subject Representative. See below comments.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$70,000.00
Alleged Damages Amount Explanation (if amount not exact):	Grievance references a loss of asset value of "over $70,000.00."
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:	04/30/2019
Complaint Pending?	No
Status:	Denied

Status Date:	05/14/2019
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The purchase of the equities that form the basis of the complaint were purchased between 2009-2012 from a different advisor at a different firm. The customers did not become customers of the subject Representative until 2014. This Form U4 update has been made due to a strict interpretation and application of Form U4 Disclosure Questions, without considering the factual accuracy, or lack thereof, of the grievance at issue.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	GWN Securities, Inc.
Allegations:	Client alleged Representative made unauthorized trades within his account.
Product Type:	Other: Managed Account
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	No specific amount was mentioned. However an initial calculation to unwind the trades was just under the $5,000.00 mark. Later the client requested a refund of fees and other items which resulted in a larger dollar amount.
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:	04/15/2016
Complaint Pending?	No
Status:	Settled
Status Date:	11/15/2016
Settlement Amount:	$8,835.77
Individual Contribution Amount:	$4,417.58

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GWN Securities Inc.
Allegations:	Client alleged Representative made unauthorized trades within his account.
Product Type:	Other: Managed Account
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact):	No specific amount was mentioned. HOwever an initial calculation to unwind the trades was just under the $5,000.00 mark. Later, the client requested a refund of fees and other items which resulted in a larger dollar amount.
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:	04/15/2016
Complaint Pending?	No
Status:	Settled
Status Date:	11/15/2016
Settlement Amount:	$8,835.77
Individual Contribution Amount:	$4,417.58
Broker Statement	Portfolio allocation / trades that advisor believed followed client's objectives were deemed unauthorized, as a result of a miscommunication. Client did not lose money. Firm shared 50% of settlement costs, in consideration of the circumstances.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINCOLN INVESTMENT PLANNING, INC.
Allegations:	CLIENT ALLEGES THAT THE CONSOLIDATION OF DIANE'S 2 ANNUITY HOLDINGS TO MUTUAL FUNDS ON APRI 6, 1999 RESULTED IN A $5,568 SURRENDER CHARGE THAT THE CLIENT ALLEGES WAS NOT DISCLOSED BY THE REPRESENTATIVE AT THE TIME OF RECOMMENDATION.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,568.00

Customer Complaint Information

Date Complaint Received:	12/13/1999
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/07/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	FINANCIAL REPRESENTATIVE CONTENDS THE CLIENT WAS PROPERLY INFORMED OF THE APPLICABLE SURRENDER CHARGES. REPRESENTATIVE FURTHER CONTENDS THAT THE DISCLOSURE OF SURRENDER CHARGES WAS MADE IN THE REQUEST FOR TRANSFER

PAPERWORK, SIGNED BY THE CLIENT. THE CLIENT ALSO RECEIVED A LETTER FROM LSW IDENTIFYING THAT SURRENDER CHARGES. CLIENT WAS GIVEN THE OPPORTUNITY TO MAINTAIN THE ANNUITY POSITIONS. AT THAT TIME, SHE DID NOT STOP THE TRANSFER.

End of Report

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