



IAPD Report

WILLIAM KENNETH WILSON

CRD# 1370065

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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

WILLIAM KENNETH WILSON (CRD# 1370065)

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 **10/02/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	REAP IN WEALTH MANAGEMENT, LLC	146512	Los Angeles, CA	06/26/2019 - 12/31/2025
IA	ZENDAMENTALS	148411	Los Angeles, CA	08/20/2021 - 03/06/2025
IA	SECURE INVESTMENT MANAGEMENT, LLC	141195	Los Angeles, CA	07/18/2018 - 06/20/2019

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	2



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 not currently registered as an Investment Adviser Representative.



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.

No information reported.



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	06/26/2019 - 12/31/2025	REAP IN WEALTH MANAGEMENT, LLC	CRD# 146512	Los Angeles, CA
IA	08/20/2021 - 03/06/2025	ZENDAMENTALS	CRD# 148411	Los Angeles, CA
IA	07/18/2018 - 06/20/2019	SECURE INVESTMENT MANAGEMENT, LLC	CRD# 141195	Los Angeles, CA
IA	01/12/2017 - 01/19/2018	SOUTHPORT CAPITAL	CRD# 113364	Los Angeles, CA
IA	12/01/2015 - 01/10/2017	SECURE INVESTMENT MANAGEMENT, LLC	CRD# 141195	Los Angeles, CA

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
08/2021 - Present	Eddie Patel, Inc	Solicitor	Y	Los Angeles, CA, United States
08/2021 - Present	Wilson Financial Group, Inc	President/CEO	Y	Los Angeles, CA, United States
06/2019 - Present	Reap in Wealth Management, LLC	Investment Adviser Representative	Y	Palm Coast, FL, United States
02/2016 - Present	J.D. Mellberg Financial, LLC	Contracted/Licensed Insurance Agent	N	Tucson, AZ, United States
05/1982 - Present	Wilson Financial Group	Independent Licensed Insurance Agent	N	Los Angeles, CA, United States
06/2019 - 08/2021	REAP in Wealth Management, LLC	Solicitor	Y	Los Angeles, CA, United States
07/2018 - 06/2019	Secure Investment Management, LLC	Solicitor	Y	Los Angeles, CA, United States
01/2017 - 01/2018	Southport Capital, Inc.	Solicitor-Only Representative	Y	Los Angeles, CA, United States
12/2015 - 01/2017	Secure Investment Management, LLC	Solicitor-Only Representative	Y	Los Angeles, CA, United States
02/2014 - 10/2016	Carey Limousine LA, Inc	Limousine Driver	N	Culver, CA, 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.

Wilson Financial Group - Non-Investment Related - 6625 Springpark Ave., Apt# 6 Los Angeles, CA. 90056 - Insurance/Annuity Related Business - Independent Insurance Agent - Start Date - 05/1992 - Present - 40 hours per week and during trading hours.

J.D. Mellberg Financial, LLC - Non-investment related business - 3067 W. Ina Road, Suite 105 Tucson, AZ 85741 - Insurance Agency/Primarily annuities - Contracted/Licensed Insurance Agent - Start date 02/2016 - Present - approximately 15- 20 hours per week and during trading hours.

I am licensed in various states and appointed with various carriers licensed in the state I am licensed with for the sale of insurance products.



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	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	04/04/2002
Docket/Case Number:	0200063
Employing firm when activity occurred which led to the regulatory action:	WMA SECURITIES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO NASDR ENTERED LETTER OF ACCEPTANCE, WAIVER AND CONSENT, FILE NO. C8A010085.
Current Status:	Final
Resolution:	Order
Resolution Date:	01/16/2003
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	THE RESPONDENT'S SALESPERSON REGISTRATION IS REVOKED IN THE STATE OF ILLINOIS.

**Regulator Statement**

A NOTICE OF HEARING, ISSUED APRIL 4, 2002. THE HEARING IS SCHEDULED FOR JUNE 5, 2002. ORDER OF REVOCATION ISSUED JANUARY 16, 2003. CONTACT: (217) 785-4948

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Reporting Source: Individual

Regulatory Action Initiated By: State of Illinois Secretary of State Securities Department

Sanction(s) Sought: Revocation

Date Initiated: 04/04/2002

Docket/Case Number: 0200063

Employing firm when activity occurred which led to the regulatory action: WMA Securities, Inc.

Product Type: No Product

Allegations: Without admitting or denying the allegations, the respondent consented to the entry of findings that he deposited into an account for his benefit a commission check in the amount of \$912.28 for respondent's life insurance policy, which check was payable to another member firm representative, without the knowledge or consent of that representative.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 01/16/2003

Sanctions Ordered: Denial
Expulsion
Revocation

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/15/2001

Docket/Case Number: C8A010085

Employing firm when activity occurred which led to the regulatory action: WMA SECURITIES, INC.



Product Type: Insurance

Other Product Type(s):

Allegations: NASD RULE 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE DEPOSITED INTO AN ACCOUNT FOR HIS BENEFIT A COMMISSION CHECK IN THE AMOUNT OF \$912.28 FOR RESPONDENT'S LIFE INSURANCE POLICY, WHICH CHECK WAS PAYABLE TO AMOTHER MEMBER FIRM REPRESENTATIVE, WITHOUT THE KNOWLEDGE OR CONSENT OF THAT REPRESENTATIVE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/15/2001

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: CENSURE, SUSPENSION FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR THIRTY (30) BUSINESS DAYS AND A FINE IN THE AMOUNT OF \$2,500. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE THIRTY BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER, AND HAVE ATTACHED AN ELECTION OF PAYMENT FROM SHOWING THE METHOD BY WHICH RESPONDENT PROPOSE TO PAY ANY FINE IMPOSED. THE SUSPENSION SHALL BEGIN WITH THE OPENING OF BUSINESS ON MONDAY, DECEMBER 17, 2001 AND END AT THE CLOSE OF BUSINESS ON WEDNESDAY, JANUARY 30, 2001.

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Reporting Source: Individual

Regulatory Action Initiated By: National Association of Securities Dealers, Inc

Sanction(s) Sought:

Date Initiated: 11/15/2001

Docket/Case Number: C8A010085

Employing firm when activity occurred which led to the regulatory action: WMA Securities, Inc.

Product Type: Insurance

Allegations: NASD Rule 2110 - Without admitting or denying the allegations, the respondent consented to the entry of findings that he deposited into an account for his benefit a commission check in the amount of \$912.28 for respondent's life insurance policy, which check was payable to another member firm representative without the knowledge or consent of that representative.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	11/15/2001
Sanctions Ordered:	Censure Monetary Penalty other than Fines Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	30 days
Start Date:	11/15/2001
End Date:	12/15/2001
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$2,500.00
Portion Levied against individual:	\$0.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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