



IAPD Report

KENNETH ALAN CLYDE

CRD# 1488320

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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 ALAN CLYDE (CRD# 1488320)

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 **04/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/13/2024
IA	LPL FINANCIAL LLC	CRD# 6413	09/13/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	GENEOS WEALTH MANAGEMENT, INC.	120894	Cool, CA	09/24/2004 - 09/16/2024
IA	GENEOS WEALTH MANAGEMENT, INC.	120894	Cool, CA	09/24/2004 - 09/16/2024
IA	BRECEK & YOUNG ADVISORS, INC.	40395	AUBURN, CA	12/21/2001 - 09/17/2004

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	1
Customer Dispute	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 currently registered with **8** 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	Direct Participation Programs	Approved	09/13/2024
B FINRA	General Securities Representative	Approved	09/13/2024
B FINRA	Invest. Co and Variable Contracts	Approved	09/13/2024
B FINRA	Investment Co./Variable Contracts Prin	Approved	09/13/2024
B Arizona	Agent	Approved	09/13/2024
B California	Agent	Approved	09/13/2024
IA California	Investment Adviser Representative	Approved	09/13/2024
B Hawaii	Agent	Approved	06/16/2025
B Nebraska	Agent	Approved	09/13/2024
B Nevada	Agent	Approved	09/13/2024
B Oregon	Agent	Approved	04/28/2026
B Texas	Agent	Approved	10/27/2025
IA Texas	Investment Adviser Representative	Restricted Approval	11/12/2025



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	09/13/2024

Branch Office Locations

LPL FINANCIAL LLC
COOL, CA




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



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/04/2007
 Direct Participation Programs Representative Examination (S22)	Series 22	06/20/2006
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/07/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/21/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/30/1990

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	09/24/2004 - 09/16/2024	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	Cool, CA
IA	09/24/2004 - 09/16/2024	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	Cool, CA
IA	12/21/2001 - 09/17/2004	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	AUBURN, CA
B	05/13/1999 - 09/17/2004	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
B	09/19/1997 - 03/25/1999	BIRCHTREE FINANCIAL SERVICES, INC.	CRD# 15014	MINNEAPOLIS, MN
B	07/25/1994 - 08/30/1997	LEGEND EQUITIES CORPORATION	CRD# 30999	PALM BEACH GARDEN, FL
B	06/06/1992 - 07/12/1994	PENSION PLANNERS SECURITIES, INC.	CRD# 14068	SACRAMENTO, CA
B	06/06/1990 - 03/17/1992	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	04/25/1990 - 06/14/1990	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	05/29/1987 - 04/25/1990	UR FINANCIAL, INC.	CRD# 10509	
B	05/09/1986 - 01/28/1987	THE VARIABLE ANNUITY MARKETING COMPANY	CRD# 5081	

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
09/2024 - Present	LPL Financial	Financial Advisor	Y	Cool, CA, United States
06/2010 - Present	KENNY CLYDE FINANCIAL	DBA	N	AUBURN, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2004 - 09/2024	GENEOS WEALTH MANAGEMENT, INC	INVESTMENT ADVISOR/REGISTERED REP	Y	AUBURN, CA, 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) 8/2024- Kenny Clyde Financial- DBA for LPL Business (entity for LPL business)- Inv. Related- at reported business locations)



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	1
Customer Dispute	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 1

Reporting Source: Regulator

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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/20/1987

Docket/Case Number: SF-1204

Employing firm when activity occurred which led to the regulatory action: VARIABLE ANNUITY LIFE INSURANCE COMPANY

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 10/16/1987

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:



Regulator Statement

COMPLAINT NO. SF-1204 FILED MARCH 20, 1987 BY DISTRICT NO. 2N AGAINST RESPONDENTS MITCHELL LAURENCE FRAZIER AND KENNETH ALAN CLYDE ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT FRAZIER PREPARED AND SUBMITTED TO HIS INSURANCE EMPLOYER VARIABLE ANNUITY APPLICATION FORMS WHICH CONTAINED FALSE INFORMATION AND FORGED SIGNATURES FOR THE PROSPECTIVE APPLICANTS; PREPARED AND SUBMITTED CHANGE FORMS WHICH FALSELY REPRESENTED THAT CERTAIN ANNUITANTS WISHED TO INCREASE THEIR PURCHASE PAYMENTS; AND RESPONDENT CLYDE PREPARED AND SUBMITTED VARIABLE ANNUITY APPLICATION FORMS WHICH CONTAINED FALSE INFORMATION AND FORGED SIGNATURES.

DECISION RENDERED AUGUST 19, 1987, WHEREIN RESPONDENT FRAZIER IS CENSURED, FINED \$7,500.00 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR ONE (1) YEAR AND RESPONDENT CLYDE IS CENSURED, FINED \$5,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR ONE (1) YEAR, AND RESPONDENTS ARE ASSESSED COSTS OF \$800.00, JOINTLY AND SEVERALLY. IF NO FURTHER ACTION, DECISION IS FINAL OCTOBER 2, 1987.

AUGUST 28, 1987 - APPEALED TO THE BOARD OF GOVERNORS.

OCTOBER 16, 1987 - APPEAL WITHDRAWN; THEREFORE, DECISION IS FINAL.

\$800 PAID J&S 2/22/89 - DEPOSIT #121

\$5,000 PAID 2/22/89 - DEPOSIT #121

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/20/1987

Docket/Case Number: SF-1204

Employing firm when activity occurred which led to the regulatory action: VARIABLE ANNUITY LIFE INSURANCE COMPANY

Product Type:

Other Product Type(s):

Allegations: VIOLATION ARTICLE III SECTION 1818

Current Status: Final

Resolution: Decision

Resolution Date: 10/16/1987



Sanctions Ordered:	Censure Monetary/Fine \$5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	\$5000 FINE, 1 YEAR SUSPENSION
Broker Statement	Not Provided



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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BRECEK & YOUNG ADVISORS, INC.

Allegations: CLIENT CLAIMS THAT THE SURRENDER PERIOD WAS REPRESENTED AS 7 YEARS. CLIENT REQUESTS RETURN OF FULL INVESTMENT AMOUNT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$21,468.30

Customer Complaint Information

Date Complaint Received: 12/10/2007

Complaint Pending? No

Status: Settled

Status Date: 02/21/2008

Settlement Amount: \$1,394.67

Individual Contribution Amount: \$1,394.67

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BRECEK & YOUNG ADVISORS, INC.

Allegations: CLIENT CLAIMS THAT THE SURRENDER PERIOD WAS PRESENTED AS 7 YEARS. CLIENT REQUESTS RETURN OF FULL INVESTMENT AMOUNT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$21,468.30

Customer Complaint Information

Date Complaint Received: 12/10/2007

Complaint Pending? No

Status: Settled

Status Date: 02/21/2008

Settlement Amount: \$1,394.67

Individual Contribution Amount: \$1,394.67



Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BRECEK & YOUNG
Allegations:	CLIENT COMPLAINED THAT POLICY WAS NOT SUITABLE AND THAT CONTRACT NOT DELIVERED. CURRENT BROKER DEALER REVIEWED AND TOOK NO ACTION.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$16,000.00

Customer Complaint Information

Date Complaint Received:	03/07/2002
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/12/2002
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



End of Report

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