



## IAPD Report

# KENNETH CHRISTIAN REESE

CRD# 1501124

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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 CHRISTIAN REESE (CRD# 1501124)

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 **10/31/2025**.

### CURRENT EMPLOYERS

|           | Firm                 | CRD#       | Registered Since |
|-----------|----------------------|------------|------------------|
| <b>B</b>  | SUPREME ALLIANCE LLC | CRD# 45348 | 09/12/2024       |
| <b>IA</b> | SUPREME ALLIANCE LLC | CRD# 45348 | 09/13/2024       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>B</b>  | SAN BLAS SECURITIES LLC   | 290605 | CHICAGO, IL       | 09/03/2024 - 09/04/2024 |
| <b>IA</b> | STIRLINGSHIRE INVESTMENTS | 327779 | Phoenix, AZ       | 12/20/2023 - 07/29/2024 |
| <b>B</b>  | STIRLINGSHIRE INVESTMENTS | 310576 | NEW YORK CITY, NY | 12/08/2023 - 07/29/2024 |

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 |
|---------------|-------|
| Criminal      | 2     |
| Judgment/Lien | 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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **SUPREME ALLIANCE LLC**

Main Address: CHARLOTTE, NC

Firm ID#: 45348

| Regulator  | Registration                      | Status   | Date       |
|--|-----------------------------------|----------|------------|
|  FINRA      | General Securities Representative | Approved | 09/12/2024 |
|  Arizona    | Agent                             | Approved | 09/13/2024 |
|  Arizona  | Investment Adviser Representative | Approved | 09/13/2024 |
|  Michigan | Agent                             | Approved | 10/04/2024 |
|  Michigan | Investment Adviser Representative | Approved | 10/04/2024 |

#### Branch Office Locations

**SUPREME ALLIANCE LLC**

Phoenix, AZ



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

#### General Industry/Product Exams

| Exam   | Category | Date       |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
|  National Commodity Futures Examination (S3)        | Series 3 | 02/19/1987 |
|  General Securities Representative Examination (S7) | Series 7 | 05/17/1986 |

#### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
|   Uniform Combined State Law Examination (S66) | Series 66 | 02/10/2001 |
|  Uniform Investment Adviser Law Examination (S65)  | Series 65 | 07/07/1995 |
|  Uniform Securities Agent State Law Examination (S63)  | Series 63 | 06/04/1986 |

### 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    |
|--|-------------------------|----------------------------------|-------------|--------------------|
|  | 09/03/2024 - 09/04/2024 | SAN BLAS SECURITIES LLC          | CRD# 290605 | CHICAGO, IL        |
|  | 12/20/2023 - 07/29/2024 | STIRLINGSHIRE INVESTMENTS        | CRD# 327779 | Phoenix, AZ        |
|  | 12/08/2023 - 07/29/2024 | STIRLINGSHIRE INVESTMENTS        | CRD# 310576 | NEW YORK CITY, NY  |
|  | 09/01/2023 - 12/05/2023 | OSAIC WEALTH, INC.               | CRD# 23131  | TEMPE, AZ          |
|  | 09/01/2023 - 12/05/2023 | OSAIC WEALTH, INC.               | CRD# 23131  | TEMPE, AZ          |
|  | 06/29/2023 - 09/01/2023 | SAGEPOINT FINANCIAL, INC.        | CRD# 133763 | TEMPE, AZ          |
|  | 03/20/2009 - 09/01/2023 | SAGEPOINT FINANCIAL, INC.        | CRD# 133763 | TEMPE, AZ          |
|  | 04/08/2009 - 12/31/2009 | SAGEPOINT FINANCIAL, INC.        | CRD# 133763 | TEMPE, AZ          |
|  | 01/22/2009 - 01/27/2009 | NATIONAL PLANNING CORPORATION    | CRD# 29604  | GLENDALE, AZ       |
|  | 10/31/2005 - 01/23/2009 | SAGEPOINT FINANCIAL, INC.        | CRD# 133763 | GLENDALE, AZ       |
|  | 10/31/2005 - 01/23/2009 | SAGEPOINT FINANCIAL, INC.        | CRD# 133763 | GLENDALE, AZ       |
|  | 01/07/2005 - 10/31/2005 | SUNAMERICA SECURITIES, INC.      | CRD# 20068  | GLENDALE, AZ       |
|  | 12/15/2000 - 10/31/2005 | SUNAMERICA SECURITIES, INC.      | CRD# 20068  | PHOENIX, AZ        |
|  | 04/02/2001 - 12/31/2002 | STC GROUP, INC.                  | CRD# 116650 | PHOENIX, AZ        |
|  | 09/25/1999 - 11/22/2000 | RAYMOND JAMES & ASSOCIATES, INC. | CRD# 705    | ST. PETERSBURG, FL |
|  | 05/11/1998 - 09/25/1999 | RONEY & CO.                      | CRD# 15001  | DETROIT, MI        |



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

|   | Registration Dates      | Firm Name                                   | ID#       | Branch Location |
|---|-------------------------|---|-----------|-----------------|
|  | 11/13/1992 - 05/11/1998 | RONEY & CO. L.L.C.                          | CRD# 900  | DETROIT, MI     |
|  | 11/20/1989 - 11/02/1992 | DEAN WITTER REYNOLDS INC.                   | CRD# 7556 | PURCHASE, NY    |
|  | 03/23/1989 - 12/02/1989 | PAINEWBBER INCORPORATED                     | CRD# 8174 | WEEHAWKEN, NJ   |
|  | 09/18/1987 - 03/06/1989 | PRUDENTIAL-BACHE SECURITIES INC.            | CRD# 7471 |                 |
|  | 07/16/1986 - 04/29/1987 | KIDDER, PEABODY & CO. INCORPORATED          | CRD# 7613 |                 |
|  | 06/03/1986 - 06/13/1986 | RODECKER & COMPANY INVESTMENT BROKERS, INC. | CRD# 7283 |                 |

### 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 | Supreme Alliance LLC      | Registered Representative/Investment Advisor Representative | Y                  | Charlotte, NC, United States |
| 12/2023 - 07/2024 | Stirlingshire Investments | Registered Representative                                   | Y                  | NYC, NY, United States       |
| 09/2023 - 12/2023 | OSAIC WEALTH, INC.        | Mass Transfer   | Y                  | TEMPE, AZ, United States     |
| 02/2009 - 09/2023 | SAGE POINT FINANCIAL      | REGISTERED REPRESENTATIVE                                   | Y                  | TEMPE, AZ, 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.

No information reported.



## 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 |
|---------------|-------|
| Criminal      | 2     |
| Judgment/Lien | 1     |

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

|                          |   |
|--------------------------|---|
| <b>Reporting Source:</b> | Individual  |
| <b>Court Details:</b>    | DREAMY DRAW JUSTICE COURT, PHOENIX, ARIZONA, CASE# 0708CR0201048A 001.  |
| <b>Charge Date:</b>      | 03/04/2003  |
| <b>Charge Details:</b>   | ISSUING A BAD CHECK - ARS 13-1807. NO PLEA WAS ENTERED AND TO THE BEST OF REPRESENTATIVE'S RECOLLECTION NO CONVICTION WAS ENTERED EITHER AS THE COURT RECORDS CLEARLY SHOW UNDER THE LINE "JUDGMENTS" NO ENTRY. THE MATTER WAS DISMISSED. |

#### Felony?

No

#### Current Status:

Final

#### Status Date:

03/26/2003

|                             |  |
|-----------------------------|--|
| <b>Disposition Details:</b> | \$40.80 CHECK PAID IN FULL THROUGH MARICOPA COUNTY ATTORNEY, CHECK ENFORCEMENT PROGRAM ON 3/11/2003. THE COURT DIMISSED THE CHARGES. |
|-----------------------------|--|

#### Broker Statement

THIS MATTER RESULTED FROM AN OFFICE MANAGER'S HANDLING OF BOOKKEEPING FOR THE REPRESENTATIVE'S OFFICE AND PERSONAL FINANCIAL AFFAIRS.

#### Disclosure 2 of 2

|                          |  |
|--------------------------|--|
| <b>Reporting Source:</b> | Individual   |
| <b>Court Details:</b>    | DEARBORN, MICHIGAN DISTRICT COURT. NO FURTHER INFORMATION ON THIS DATE 3-10-09 IS AVAILABLE AS THIS MATTER OCURRED 32 YEARS AGO AND THE FILES HAVE LONG SINCE BEEN PURGED. |
| <b>Charge Date:</b>      | 11/14/1977   |
| <b>Charge Details:</b>   | ACCUSED OF SHOPLIFTING A \$2.90 SET WRENCH   |



FROM SEARS IN DEARBORN, MICHIGAN

**Felony?**

No

**Current Status:**

Final

**Status Date:**

12/12/1977

**Disposition Details:**

\$100.00 FINE AND ONE YEAR PROBATION SINCE IT WAS  
MY ONLY OFFENSE.

**Broker Statement**

I HAD PURCHASED A 12 PIECE BOX WRENCH SET FROM SEARS ON 11-14-77. UPON RETURNING HOME, I FOUND ONLY 11 PIECES IN THE SET. I RETURNED TO SEARS FOR THE ADDITIONAL PIECE WHICH THE STORE WOULD NOT GIVE ME; WHY I DON'T KNOW. I WANDERED AROUND THE STORE FOR A WHILE, CAME BACK TO THE TOOL DEPARTMENT, PLACED THE 12TH PIECE OF THE SET IN MY PANTS. I HEADED FOR THE DOOR WHERE STORE DETECTIVES STOPPED ME. THEY DETAINED ME UPON FINDING THE WRENCH. I WAS 19 YEARS OLD, GOING TO COLLEGE, AND JUST DID A STUPID THING.

DECades after this matter was reported on Form U4 FINRA now issues a disclosure letter on 3/9/2009 requesting information relating to the court's location and case number. The files have long been purged.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Judgment/Lien Holder:** IRS

**Judgment/Lien Amount:** \$49,720.00

**Judgment/Lien Type:** Tax

**Date Filed with Court:** 09/24/2010

**Date Individual Learned:** 03/18/2015

**Type of Court:** UNKNOWN

**Name of Court:** UNKNOWN

**Location of Court:** UNKNOWN

**Docket/Case #:** 20100827422

**Judgment/Lien Outstanding?** Yes

**Broker Statement**  
OVER THE PAST 4 MONTHS I HAVE BEEN WORKING WITH DALE GRABOIS, AN ENROLLED AGENT LICENSE BY THE U.S. DEP OF JUSTICE, TO RESOLVE THE ISSUE. HIS CONTACT NUMBER IS 602-327-6555.



## End of Report

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