IAPD Report

Dennis Charles Koenning

CRD# 1599307

Section Title	Page(s)

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

Dennis Charles Koenning (CRD# 1599307)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	YOUR IA, LLC	CRD# 338535	04/06/2026
B	FIRST ASSET FINANCIAL INC.	CRD# 139107	05/22/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	TRANSAMERICA FINANCIAL ADVISORS, LLC	16164	Alpharetta, GA	01/06/2012 - 03/27/2026
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	16164	Alpharetta, GA	01/06/2012 - 03/27/2026
IA	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	DULUTH, GA	09/21/2010 - 01/06/2012

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

Employment 1 of 2

Firm Name: **FIRST ASSET FINANCIAL INC.**
Main Address: 110 E. IRON AVE.
SALINA, KS 67401
Firm ID#: 139107

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/22/2026
B	California	Agent	Approved	05/26/2026
B	Georgia	Agent	Approved	05/26/2026
B	Idaho	Agent	Approved	05/22/2026
B	Utah	Agent	Approved	05/26/2026

Branch Office Locations

Cumming, GA

Employment 2 of 2

Firm Name: **YOUR IA, LLC**
Main Address: 616 SOUTH 300 EAST
ST. GEORGE, UT 84770
Firm ID#: 338535

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	04/14/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	04/06/2026

Qualifications

Branch Office Locations

YOUR IA, LLC
Cummings, GA

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	11/15/1993
B	General Securities Representative Examination (S7)	Series 7	12/20/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/12/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1987

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	01/06/2012 - 03/27/2026	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	Alpharetta, GA
IA	01/06/2012 - 03/27/2026	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	Alpharetta, GA
IA	09/21/2010 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	DULUTH, GA
B	09/08/2010 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	JOHNS CREEK, GA
IA	02/05/2003 - 12/31/2009	AMERICAN WEALTH MANAGEMENT, INC.	CRD# 25536	BUFORD, GA
B	01/09/1997 - 12/31/2009	AMERICAN WEALTH MANAGEMENT, INC.	CRD# 25536	BUFORD, GA
B	07/30/1994 - 01/17/1997	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	06/24/1992 - 07/15/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/15/1989 - 06/23/1992	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	05/16/1988 - 08/16/1989	F.N. WOLF & CO., INC.	CRD# 13051	
B	02/02/1987 - 05/18/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	
B	12/23/1986 - 01/31/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
05/2026 - Present	First Asset Financial	Registered Rep	Y	Salina, KS, United States
03/2026 - Present	Experior Financial Group	Agent	Y	Cumming, GA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2026 - Present	Your IA	Financial Advisor	Y	Cumming, GA, United States
01/2017 - Present	AMOR REAL MINISTRIES	BOARD OF DIRECTORS	N	CUMMING, GA, United States
09/2008 - Present	TIMKO, LLC	PRESIDENT	N	CUMMING, GA, United States
01/2012 - 03/2026	TRANSAMERICA FINANCIAL ADVISORS, INC	Mass Transfer	Y	JOHNS CREEK, GA, United States
07/2010 - 03/2026	WFGIA	ASSOC	Y	DULUTH, GA, United States
02/2014 - 11/2016	THE JERICHO HOUSE	BOARD MEMBER	N	CLEVELAND, GA, 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.

Timko, LLC | Not Investment Related | 5015 Silver Leaf Dr., Cummings GA 30040 | Pass-thru Entity | President | September 2008 | 4 hour per month | Zero hours during securities trading hours | Pass-thru entity for tax considerations

Amor Real Ministries | Not Investment Related | 31304 New Forest Park Ln, Spring, TX 77386 | Non-profit Christian ministry | Board Member | January 2017 | 10 hours per month | Zero hours during securities trading hours | Non-profit Christian ministry that owns a women's shelter and mission home in Lima, Peru. Assist in mission work, trips and translation to Spanish.

Experior Financial Group | Investment Related | 5015 Silver Leaf Dr. Cumming, GA 30040 | Insurance Agency | Insurance Agent | 1099 Contractor | April 2026 | 30 hours per month | 20 hours during securities trading hours | Insurance sales.

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
Termination	1
Judgment/Lien	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NYSE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/24/1999
Docket/Case Number:	HPD# 00-5
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	**09/24/1999** CHARGES ISSUED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CHARGES: CHARGE I DENNIS CHARLES KOENNING VIOLATED EXCHANGE RULE 346(B) BY ENGAGING IN ONE OR MORE OTHER BUSINESSES WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING THE PRIOR WRITTEN CONSENT OF HIS MEMBER ORGANIZATION EMPLOYER, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE II DENNIS CHARLES KOENNING VIOLATED EXCHANGE RULE 346(B) BY SERVING AS AN OFFICER, DIRECTOR, PARTNER OR EMPLOYEE OF ONE OR MORE OTHER BUSINESS ORGANIZATIONS WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING THE PRIOR WRITTEN CONSENT OF

	HIS MEMBER ORGANIZATION EMPLOYER, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE III DENNIS CHARLES KOENNING ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY MAKING ONE OR MORE MISSTATEMENTS TO HIS MEMBER ORGANIZATION EMPLOYER, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A).
Current Status:	Final
Resolution:	Decision
Resolution Date:	03/21/2000
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	**02/03/2000** EXCHANGE HEARING PANEL DECISION 00-5 ISSUED BY NYSE HEARING PANEL CHARGE: VIOLATED RULE 346(B) BY ENGAGING IN A BUSINESS WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING THE PRIOR WRITTEN CONSENT OF HIS EMPLOYER - CENSURE.
Regulator Statement	**03/21/2000** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212)656-8450.

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Censure
Date Initiated:	09/24/1999
Docket/Case Number:	00-7
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES & ASSOCIATES
Product Type:	No Product
Allegations:	VIOLATION OF NYSE RULE 346 B - ENGAGING IN A BUSINESS WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING CONSENT
Current Status:	Final
Resolution:	Decision
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:	03/21/2000
Sanctions Ordered:	Censure

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	RAYMOND JAMES AND ACCOS.
Termination Type:	Discharged
Termination Date:	12/17/1996
Allegations:	FAILURE TO DISCLOSE INVOLVEMENT IN OUTSIDE BUSNIESS ACTIVITIES IN VIOLATION OF INTERNAL POLICIES
Product Type:	No Product
Broker Statement	I HAD VARBALLY COMMUNICATED WITH BRANCH MANAGER YET DID NOT HAVE WRITTEN CONCENT OR BELIWVED I DID WRONG

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:	$8,717.25
Judgment/Lien Type:	Tax
Date Filed with Court:	01/28/2014
Date Individual Learned:	01/28/2014
Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF FORSYTH COUNTY
Location of Court:	CUMMING GA
Docket/Case #:	979196914
Judgment/Lien Outstanding?	Yes

End of Report

This page is intentionally left blank.

