



## IAPD Report

# KENNETH NELSON WISEMAN II

CRD# 1621758

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

### KENNETH NELSON WISEMAN II (CRD# 1621758)

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 **01/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL MARKETS IQ, LLC	CRD# 134921	11/14/2005
IA	INTERCAROLINA FINANCIAL SERVICES, INC.	CRD# 19475	01/06/2026

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	INTERCAROLINA FINANCIAL SERVICES, INC.	19475	GREENSBORO, NC	08/02/2021 - 12/05/2025
B	BIRCHWOOD SECURITIES CORP.	17066	MEDFORD, NJ	06/30/2017 - 07/29/2019
B	PERAZA CAPITAL AND INVESTMENT, LLC	117851	TAMPA, FL	10/06/2014 - 07/07/2015

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
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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **INTERCAROLINA FINANCIAL SERVICES, INC.**  
Main Address: 3300 BATTLEGROUND AVENUE  
SUITE 202  
GREENSBORO, NC 27410  
Firm ID#: 19475

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	01/06/2026

#### Branch Office Locations

**INTERCAROLINA FINANCIAL SERVICES, INC.**  
ARLINGTON, TX

#### Employment 2 of 2

Firm Name: **CAPITAL MARKETS IQ, LLC**  
Main Address: ARLINGTON, TX  
Firm ID#: 134921

	Regulator	Registration	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	12/13/2016
IA	New York	Investment Adviser Representative	Approved	11/14/2022
IA	Texas	Investment Adviser Representative	Approved	11/14/2005

#### Branch Office Locations

**CAPITAL MARKETS IQ, LLC**  
ARLINGTON, TX



## 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
B	General Securities Principal Examination (S24)	Series 24	01/02/2023

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	11/27/2000
B	General Securities Representative Examination (S7)	Series 7	02/21/1987

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/25/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/2004



### 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	08/02/2021 - 12/05/2025	INTERCAROLINA FINANCIAL SERVICES, INC.	CRD# 19475	GREENSBORO, NC
B	06/30/2017 - 07/29/2019	BIRCHWOOD SECURITIES CORP.	CRD# 17066	MEDFORD, NJ
B	10/06/2014 - 07/07/2015	PERAZA CAPITAL AND INVESTMENT, LLC	CRD# 117851	TAMPA, FL
B	05/28/2014 - 10/20/2014	HALEN CAPITAL	CRD# 135966	CLEARWATER, FL
B	03/04/2010 - 08/07/2012	BENNETT ROSS, INC.	CRD# 42850	FORT WORTH, TX
B	11/16/2007 - 02/13/2009	PARKER FINANCIAL CORP.	CRD# 42140	VALLEY COTTAGE, NY
B	07/11/2007 - 12/31/2007	BENNETT ROSS, INC.	CRD# 42850	FORT WORTH, TX
B	06/10/2004 - 07/15/2005	CARLIN EQUITIES CORP.	CRD# 31295	NEW YORK, NY
B	08/30/2002 - 02/11/2004	GEEK SECURITIES, INC.	CRD# 14834	BOCA RATON, FL
B	03/19/2001 - 04/15/2002	ARGO SECURITIES CORP.	CRD# 38473	PLANO, TX
B	10/05/2000 - 02/21/2002	RICHMARK CAPITAL CORPORATION	CRD# 43162	IRVING, TX
B	10/12/1999 - 03/29/2000	INTERNATIONAL EXCHANGE BROKERS, LLC.	CRD# 44155	DALLAS, TX
B	04/17/1996 - 03/02/1998	FIRST NATIONAL EQUITY, CORP.	CRD# 36094	PT. PLEASANT BEACH,
B	10/20/1995 - 04/23/1996	SIMON SECURITIES, INC.	CRD# 16746	COLLINGSWOOD, NJ
B	06/28/1994 - 05/26/1995	REGENCY CAPITAL GROUP, INC.	CRD# 30764	GLENDALE, CA



## 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	08/09/1991 - 06/27/1994	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	08/24/1988 - 04/01/1989	GROUP NINE SECURITIES CORPORATION	CRD# 14404	
B	04/27/1988 - 08/29/1988	MARSHALL DAVIS, INC.	CRD# 16278	
B	02/26/1987 - 04/13/1988	CUNYUS SECURITIES, INC.	CRD# 15821	

### 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
01/2026 - Present	INTERCAROLINA FINANCIAL SERVICES, INC.	RIA REP.	Y	GREENSBORO, NC, United States
07/2005 - Present	Capital Markets IQ LLC	OWNER, OFFICER	Y	FORT WORTH, TX, United States
03/2005 - Present	TRINITY CAPITAL OFFSHORE INVESTORS, SPC	PRESIDENT, 100% OWNER	Y	GEORGE TOWN, Cayman Islands
07/2021 - 12/2025	INTERCAROLINA FINANCIAL SERVICES, INC.	RIA REP.	Y	GREENSBORO, NC, United States
06/2017 - 04/2020	Birchwood Securities Corporation	registered rep	Y	Medford, NJ, 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.

AS OF MARCH 2005, PRESIDENT AND SOLE OWNER OF TRINITY CAPITAL OFFSHORE INVESTORS, SPC, GRAND CAYMAN, CAYMAN ISLANDS. (INVESTMENT RELATED). ENTITY HAS BEEN DORMANT SINCE FORMATION: No current duties; 0 Hrs/month. OWNER DK CAPITAL LLC IN ARLINGTON, TEXAS, A BUSINESS CONSULTING ENTITY, 3 HRS/WK.

Chief technical officer, trading, and analyst of Entrepreneur's Investment Office Limited located at Unit 1102E, Level 11, Burj Daman, DIFC, Dubai, UAE, a financial services company. Investment related. Approximately 25% of his time is spent on this activity, all during trading hours. Started 3/1/2022.



## 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
Termination	1
Judgment/Lien	1

### 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	RICHMARK CAPITAL CORP.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	02/21/2002
<b>Allegations:</b>	Alleged MISREPRESENTATION OF CLIENT INFORMATION TO SUPERVISOR.
<b>Product Type:</b>	Equity-OTC
<b>Broker Statement</b>	THIS DISCHARGE WAS BASED UPON THE SAME FACTS AS THE NASD ENFORCEMENT ACTION NO. C06040023 WHICH WAS DISMISSED WITH PREJUDICE ON JUNE 1, 2005.



## Judgment/Lien

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	Steveb D. Love
<b>Judgment/Lien Amount:</b>	\$271,105.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	09/17/2020
<b>Date Individual Learned:</b>	12/05/2022
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	342nd judicial district
<b>Location of Court:</b>	Tarrant Count Texas
<b>Docket/Case #:</b>	342-319374020
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Contract dispute re a business venture between the parties.



## End of Report

This page is intentionally left blank.