



IAPD Report

KEVIN DEAN KELLER

CRD# 1704074

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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

KEVIN DEAN KELLER (CRD# 1704074)

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 **07/12/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DELTA INVESTMENT MANAGEMENT, LLC	CRD# 149596	08/12/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	DELTA INVESTMENT MANAGEMENT, LLC	149596	Charlotte, NC	04/11/2019 - 08/11/2021
IA	FORMULA FOLIO INVESTMENTS	153467	Charlotte, NC	09/27/2018 - 04/11/2019
IA	RETIREMENT WEALTH ADVISORS, INC.	137658	CHARLOTTE, NC	09/27/2018 - 04/11/2019

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
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **DELTA INVESTMENT MANAGEMENT, LLC**

Main Address: 708 MONTGOMERY STREET
SAN FRANCISCO, CA 94111

Firm ID#: 149596

	Regulator	Registration	Status	Date
IA	South Carolina	Investment Adviser Representative	Approved	08/12/2021

Branch Office Locations

DELTA INVESTMENT MANAGEMENT, LLC

Catawba, SC



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/14/1993

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	01/24/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/29/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/24/2018
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/24/1992



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	04/11/2019 - 08/11/2021	DELTA INVESTMENT MANAGEMENT, LLC	CRD# 149596	Charlotte, NC
IA	09/27/2018 - 04/11/2019	FORMULA FOLIO INVESTMENTS	CRD# 153467	Charlotte, NC
IA	09/27/2018 - 04/11/2019	RETIREMENT WEALTH ADVISORS, INC.	CRD# 137658	CHARLOTTE, NC
B	09/06/2013 - 01/24/2018	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	05/04/2011 - 11/01/2011	MUTUAL TRUST CO. OF AMERICA SECURITIES	CRD# 8494	ST. PETERSBURG, FL
B	06/12/2007 - 12/14/2010	ING FINANCIAL PARTNERS, INC.	CRD# 2882	CHARLOTTE, NC
B	01/06/2006 - 03/20/2007	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CHARLOTTE, NC
B	09/21/2005 - 01/03/2006	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	CHARLOTTE, NC
B	12/18/2002 - 12/06/2004	PACIFIC SELECT DISTRIBUTORS, INC.	CRD# 4452	NEWPORT BEACH, CA
B	11/19/2002 - 12/06/2002	PLANCO FINANCIAL SERVICES, INC.	CRD# 8326	HARTFORD, CT
B	03/11/2002 - 11/05/2002	NYLIFE DISTRIBUTORS INC.	CRD# 35350	JERSEY CITY, NJ
B	05/17/1999 - 05/09/2001	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	CRD# 40178	FRANKLIN, TN
B	09/25/1992 - 05/09/2001	NATIONAL PLANNING CORPORATION	CRD# 29604	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
08/2023 - Present	Carolina Piedmont Investments, LLC	Business and Marketing Manager	Y	Charlotte, NC, United States
04/2019 - Present	Delta Investment Management, LLC	Investment Advisor Representative	Y	Catawba, SC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - Present	Keller Carolina Realty Group	Business and Marketing Manager	Y	Charlotte, NC, United States
02/2018 - Present	NorthStar Financial & Retirement Planning, LLC	Insurance Advisor	Y	Charlotte, NC, United States
12/2001 - Present	KP Farms	Owner	N	Carlisle, SC, United States
06/2018 - 04/2019	FormulaFolio Investments, Inc.	Investment Advisor Representative	Y	Charlotte, NC, United States
06/2018 - 04/2019	Retirement Wealth Advisors, Inc.	Investment Advisor Representative	Y	Charlotte, NC, United States
08/2013 - 02/2018	THE O. N. EQUITY SALES COMPANY	REGISTERED REP	Y	CINCINNATI, OH, United States
02/2011 - 02/2018	OHIO NATIONAL FINANCIAL SERVICES	REGIONAL OFFICER	Y	CHARLOTTE, NC, 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.

NorthStar Financial and Retirement Planning; investment related; 2550 Landsford Road, Catawba, SC 29704a; Insurance; Insurance Advisor; started 02/2018; 100 hours/month devoted; 75 hours/month devoted during securities trading hours; sale of insurance and investment advisory services.

KP Farms; non investment related; 2880 Sweet Hope Church Rd., Carlisle, SC 29031; Timber Farm; Owner; started 12/2001; 20 hours/month devoted; 2 hours/month devoted during securities trading hours; road maintenance and wildlife maintenance.

Keller Carolina Realty Group; investment related; 3430 Toringdon Way, Charlotte, NC 28277; real estate sales; Business and Marketing Manager; started 02/2018; 50 hours/month devoted; 20 hours/month devoted during securities trading hours; marketing and business management for wife's real estate firm.

Carolina Piedmont Investments, LLC; investment related; address 2253 Masons Bend Drive, Fort Mill SC 29708; real property investments; Managing Member (1/3rd ownership); started 08/2023; 12 hours/month devoted; 2 hours/month devoted during securities trading hours; marketing and business management.



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

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: Firm

Firm Name: ING FINANCIAL PARTNERS, INC.

Termination Type: Discharged

Termination Date: 12/14/2010

Allegations: REPRESENTATIVE ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO THE FIRM. REPRESENTATIVE FAILED TO PROVIDE PROMPT NOTICE TO THE FIRM AND FINRA OF A CONSUMER-INITIATED CIVIL LAWSUIT.

Product Type: No Product

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Reporting Source: Individual

Firm Name: ING FINANCIAL PARTNERS

Termination Type: Discharged

Termination Date: 12/14/2010

Allegations: REPRESENTATIVE ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO THE FIRM. REPRESENTATIVE FAILED TO PROVIDE PROMPT NOTICE TO THE FIRM AND FINRA OF A CIVIL LAWSUIT.

Product Type: No Product

Broker Statement I MADE FULL DISCLOSURE TO THE FIRM REGARDING MY OUTSIDE BUSINESS ACTIVITIES AS REPORTED ON THE OBA FORM. THE FIRM WAS FULLY AWARE OF MY ACTIVITY REGARDING THE INSURANCE BUSINESS. REGARDING THE CIVIL COMPLAINT, I WAS NEVER AWARE THAT I NEEDED TO REPORT A CIVIL COMPLAINT INITIATED BY SOMEONE THAT WAS NOT



MY CLIENT, NOR A CLIENT OF THE FIRM. THE CLIENT HAS STATED THAT THEY DID NOT HAVE ANY INTERACTION WITH ME,AND I WAS DISMISSED FROM THE COMPLAINT



End of Report

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