



IAPD Report

KENNETH SCOTT FEYERS

CRD# 1785448

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



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 SCOTT FEYERS (CRD# 1785448)

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 **12/08/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SAFETY OF PRINCIPLE WEALTH MANAGEMENT, LLC	CRD# 143918	06/14/2007

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
B	TERRA SECURITIES CORPORATION	10358	SCHAUMBURG, IL	01/01/2004 - 04/21/2005
B	CAPITAL BROKERAGE CORPORATION	10465	GLEN ALLEN, VA	01/27/1999 - 01/01/2004

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	3



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: **SAFETY OF PRINCIPLE WEALTH MANAGEMENT, LLC**
Main Address: 12082 NW 30TH ST
CORAL SPRINGS, FL 33065
Firm ID#: 143918

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/14/2007

Branch Office Locations

SAFETY OF PRINCIPLE WEALTH MANAGEMENT, LLC
12082 NW 30TH ST
CORAL SPRINGS, FL 33065



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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/26/1999
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/13/2007
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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	01/01/2004 - 04/21/2005	TERRA SECURITIES CORPORATION	CRD# 10358	SCHAUMBURG, IL
B	01/27/1999 - 01/01/2004	CAPITAL BROKERAGE CORPORATION	CRD# 10465	GLEN ALLEN, VA

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
04/2007 - Present	SAFETY OF PRINCIPAL WEALTH MANAGEMENT COMPANY, LLC	OWNER	Y	CORAL SPRINGS, FL, United States
10/2004 - Present	SAFETY OF PRINCIPAL, INC.	OWNER	N	CORAL SPRINGS, FL, 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) KENNETH SCOTT FEYERS IS THE OWNER OF AND A LICENSED INSURANCE AGENT FOR SAFETY OF PRINCIPLE, INC., AN INSURANCE COMPANY THAT SELLS FIXED ANNUITIES, LIFE INSURANCE AND LONG TERM CARE POLICIES
- (2) MR. FEYERS IS A TAX PREPARER in Partnership with Joshua Feyers. 11555 Heron Bay Blvd.#200 Coral Springs, FL 33076



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	3

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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Other: Notice of Intent to Revoke, Suspend, Condition, or Limit Investment Adviser Representative Registration
Date Initiated:	05/18/2018
Docket/Case Number:	333349 & 334920
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Promissory Note
Allegations:	The Administrator intends TO REVOKE, SUSPEND, CONDITION, OR LIMIT THE INVESTMENT ADVISER REPRESENTATIVE REGISTRATION OF KENNETH FEYERS under section 412(2) of the Securities Act, MCL 451.2412(2), because he submitted a Form U4 that was misleading with respect to a material fact; because he submitted on behalf of his employing investment adviser firm a Form ADV that was misleading with respect to a material fact; because he willfully violated the Securities Act; and because he is subject to cease and desist orders by issued by state securities regulators in Oklahoma and Michigan, all of which support the revocation of his investment adviser representative registration under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.
Current Status:	Final
Resolution:	Administrative Consent Agreement and Order



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:	07/13/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Within fifteen (15) calendar days after the date this Consent Order is entered, Respondent Kenneth Feyers will withdraw his registration as an investment adviser representative in Michigan.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/19/2018
Was any portion of penalty waived?	No
Amount Waived:	
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: Notice of Intent to Revoke, Suspend, Condition, or Limit Investment Adviser Registration and IA Representative Registration
Date Initiated:	05/18/2018
Docket/Case Number:	333349 & 334920 & 334848
Employing firm when activity occurred which led to the regulatory action:	SAFETY OF PRINCIPLE WEALTH MANAGEMENT, LLC
Product Type:	Promissory Note Other: No Product (Regulatory Filings)
Allegations:	Docket 333349 & 334920: Kenneth Feyers offered or sold a Woodbridge promissory note security to Michigan investor KL for \$42,000, earning a commission of \$1,200. The security was not federally covered, exempt from registration, or registered, in violation of section 301 of the Securities Act, MCL 451.2301. Respondent Kenneth Feyers acted as an agent for Woodbridge in the offer and sale of the Woodbridge promissory note security to Michigan investor KL without the benefit of registration or a properly-claimed exemption, in violation of section 402(1) of the Securities Act, MCL 451.2402(1). Respondent Kenneth



Feyers, as the owner and managing member of Safety of Principle Wealth Management, LLC, filed or caused to be filed Form ADV and Form U4 amendments which did not accurately state Respondent's disciplinary history.

Docket 334848: Safety of Principle Wealth Management, LLC, filed or caused to be filed Form ADV and Form U4 amendments which did not accurately state Respondent's disciplinary history.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	07/13/2018
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: Safety of Principle Wealth Management, LLC must withdraw its registration as investment adviser in Michigan. Kenneth Feyers must withdraw his registration as investment adviser representative in Michigan.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	Pay reduced civil fine within 60 calendar days after mailing date of consent order.
Is Payment Plan Current:	No
Date Paid by individual:	07/17/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Respondents neither admit or deny any wrongdoing in connection with this matter and consent to entry of this Consent Order only for the purpose of resolving the Disciplinary Orders in an expeditious fashion that avoids the time and expense associated with an administrative hearing and any appeals therefrom.
Disclosure 2 of 3	
Reporting Source:	Regulator
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/18/2018
Docket/Case Number:	333349 & 334920

**URL for Regulatory Action:****Employing firm when activity occurred which led to the regulatory action:****Product Type:**

Promissory Note

Allegations:

Respondent Kenneth Feyers offered or sold a Woodbridge promissory note security to Michigan investor KL for \$42,000, earning a commission of \$1,200. The security was not federally covered, exempt from registration, or registered, in violation of section 301 of the Securities Act, MCL 451.2301.

Respondent Kenneth Feyers acted as an agent for Woodbridge in the offer and sale of the Woodbridge promissory note security to Michigan investor KL without the benefit of registration or a properly-claimed exemption, in violation of section 402(1) of the Securities Act, MCL 451.2402(1).

Respondent Kenneth Feyers, as the owner and managing member of Safety of Principle Wealth Management, LLC, filed or caused to be filed multiple Form ADV Part 2A and Part 2B Investment Adviser Application amendments which did not accurately state Respondent's disciplinary history. The disciplinary information in the Form ADV Part 2A and Part 2B amendments was inaccurate in material respects, and Respondent failed to promptly file correcting amendments, contrary to section 406(2) of the Securities Act, MCL 451.2406(2).

Respondent Kenneth Feyers filed or caused to be filed multiple Form U4 Investment Adviser Representative Application amendments which did not accurately state Respondent's disciplinary history. The disciplinary information in the Form U4 was inaccurate in material respects, and Respondent failed to promptly file correcting amendments, contrary to section 406(2) of the Securities Act, MCL 451.2406(2).

Current Status:

Final

Resolution:

Administrative Consent Agreement and Order

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:

07/11/2018

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Other: Within fifteen (15) calendar days after the date this Consent Order is entered, Respondent Kenneth Feyers will withdraw his registration as an investment adviser representative in Michigan.

Monetary Sanction 1 of 1**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$3,500.00

Portion Levied against individual:

\$3,500.00

Payment Plan:**Is Payment Plan Current:**



Date Paid by individual: 07/19/2018

Was any portion of penalty waived? No

Amount Waived:

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: Oklahoma Department of Securities

Sanction(s) Sought: Cease and Desist

Date Initiated: 10/25/2016

Docket/Case Number: 16-001

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: Viatical Settlement

Allegations: Feyers was not registered as an agent in Oklahoma to sell "beneficial fixed fractional interests in the benefits payable under life insurance policies" of Conestoga Trust and Conestoga International.

Current Status: Final

Resolution: Order

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: 12/20/2016

Sanctions Ordered: Cease and Desist

Reporting Source: Individual

Regulatory Action Initiated By: Oklahoma Department of Securities

Sanction(s) Sought: Cease and Desist

Date Initiated: 10/25/2016

Docket/Case Number: 16-001

Employing firm when activity occurred which led to the regulatory action: SAFETY OF PRINCIPLE WEALTH MANAGEMENT, LLC

Product Type: Viatical Settlement



Allegations:	Feyers was not registered as an agent in Oklahoma to sell "beneficial fixed fractional interests in the benefits payable under life insurance policies" of Conestoga Trust and Conestoga International.
Current Status:	Final
Resolution:	Order
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:	12/20/2016
Sanctions Ordered:	Cease and Desist



End of Report

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