



## IAPD Report

# KEVIN CHARLES MAHONY

CRD# 2102123

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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

### KEVIN CHARLES MAHONY (CRD# 2102123)

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 **01/20/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	D.L. FIELDS ADVISORY GROUP, LLC	CRD# 286216	03/03/2025

### 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>IA</b>	UNITED ADVISORS AMERICA	147350	Brookhaven, GA	08/27/2019 - 01/15/2025
<b>IA</b>	RESOURCE HORIZONS INVESTMENT ADVISORY, INC.	143384	ATLANTA, GA	07/16/2007 - 12/31/2012
<b>B</b>	RESOURCE HORIZONS GROUP LLC	104368	ATLANTA, GA	07/02/2007 - 12/31/2008

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
Criminal	1
Customer Dispute	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: **D.L. FIELDS ADVISORY GROUP, LLC**  
Main Address: 1202 NE MCCLAIN RD  
BLDG 7  
BENTONVILLE, AR 72712  
Firm ID#: 286216

Regulator	Registration	Status	Date
<b>IA</b> Georgia	Investment Adviser Representative	Approved	03/03/2025

#### Branch Office Locations

**D.L. FIELDS ADVISORY GROUP, LLC**  
501 Pulliam St  
Suite 150  
Atlanta, GA 30341



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

#### 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>B</b> General Securities Representative Examination (S7)	Series 7	01/18/2007
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/08/1991

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	10/07/1997
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/11/1991

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	08/27/2019 - 01/15/2025	UNITED ADVISORS AMERICA	CRD# 147350	Brookhaven, GA
IA	07/16/2007 - 12/31/2012	RESOURCE HORIZONS INVESTMENT ADVISORY, INC.	CRD# 143384	ATLANTA, GA
B	07/02/2007 - 12/31/2008	RESOURCE HORIZONS GROUP LLC	CRD# 104368	ATLANTA, GA
IA	05/17/2006 - 07/13/2007	MIDSOUTH CAPITAL, INC.	CRD# 35039	ATLANTA, GA
B	04/26/2006 - 07/13/2007	MIDSOUTH CAPITAL, INC.	CRD# 35039	ATLANTA, GA
IA	04/26/2006 - 05/16/2006	MIDSOUTH CAPITAL, INC.	CRD# 35039	ATLANTA, GA
IA	07/20/2001 - 05/02/2006	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	ATLANTA, GA
B	11/20/1995 - 05/02/2006	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	02/11/1991 - 11/30/1995	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA

### 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
08/2019 - Present	Alliance America Corporation	Insurance Agent	N	University Park, FL, United States
08/2019 - Present	United Advisors America Corporation	Investment Advisor Representative	Y	Prosper, TX, United States
04/2012 - 08/2019	Life of Southwest	Agent	N	Atlanta, GA, United States



## Registration & Employment History



### 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
Regulatory Event	1
Criminal	1
Customer Dispute	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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	GA OFFICE OF INSURANCE AND SAFETY FIRE COMMISSIONER
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	ADMINISTRATIVE FINE OF \$800.00
<b>Date Initiated:</b>	05/12/2005
<b>Docket/Case Number:</b>	2005-738
<b>Employing firm when activity occurred which led to the regulatory action:</b>	1717 CAPITAL MANGEMENT COMPANY
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	NO PRODUCT
<b>Allegations:</b>	GA COMMISSIONER OF INSURANCE MERGED REP FAILED TO MEET ALL REQUIREMENTS TO RENEW INSURANCE LICENSE PRIOR TO 12/31/2004.
<b>Current Status:</b>	Final
<b>Appealed To and Date Appeal Filed:</b>	PURSUANT O.C.G.A 33-23-1860
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	05/27/2005



<b>Sanctions Ordered:</b>	Monetary/Fine \$800.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	\$800.00 PAID 05/27/2005



## 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 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Superior Court, Fulton County Georgia
<b>Location of Court:</b>	Fulton County Georgia
<b>Docket/Case #:</b>	04SC13126
<b>Charge Date:</b>	01/30/2004
<b>Charge(s) 1 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Aggravated Sexual Battery
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	06/16/2005
<b>Charge was Amended or reduced to:</b>	Simple battery
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	Not guilty
<b>Disposition of Amended Charge:</b>	Alford plea negotiated to lesser offense
<b>Charge(s) 2 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Child Molestation
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	06/16/2005
<b>Charge was Amended or reduced to:</b>	Simple battery
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	Not guilty



<b>Disposition of Amended Charge:</b>	Alford plea negotiated to lesser offense of simple battery
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/16/2005
<b>Disposition Date:</b>	06/16/2005
<b>Sentence/Penalty:</b>	probation, Start date of penalty 06/16/2005; End Date of Penalty 06/16/2009
<b>Broker Statement</b>	CHARGES RELATED TO DIVORCE. ON JUNE 16, 2005 ON THE ADVICE OF COUSEL, THE COURT PERMITTED ME TO ENTER AN ALFORD PLEA AT WHICH TIME I STATED TO THE COURT, UNEQUIVOCALLY, THAT I WAS INNOCENT OF ALL CHARGES AND THE COURT ALSO ACCEPTED MY REQUEST FOR FIRST OFFENDER TREATMENT WHICH, UNDER GEORGIA LAW MEANS THAT I DO NOT HAVE ANY CONVICTIONS ON MY RECORD WHATSOEVER, EITHER FELONY OR MISDEMEANOR. MY RECORD ONLY SHOWS A MISDEMEANOR PLEA WITH NO ADJUDICATION OF GUILT AND AN ALFORD STATEMENT OF INNOCENCE. My probation ended in 2009.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	RESOURCE HORIZONS INVESTMENT ADVISORY INC.
<b>Allegations:</b>	CLIENT ALLEGES UNAUTHORIZED LIQUIDATION OF HER LINDNER CAPITAL ADVISORS ACCOUNT HELD AT TD AMERITRADE
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$40,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLIENT LISTED THIS AMOUNT AS APPROXIMATE IN HER COMPLAINT.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/19/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	12/31/2011
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	ACCOUNT WAS LIQUIDATED PER PENDING LIQUIDATE AND TRANSFER INSTRUCTIONS. CLIENT BELIEVED SHE HAD PROPERLY STOPPED OFFER PER INSTRUCTIONS FROM THE CUSTODIAN.



## End of Report

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