User Guidance

www.adviserinfo.sec.gov

IAPD Report

KENNETH FRANCIS JEWELL

CRD# 2128735

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 FRANCIS JEWELL (CRD# 2128735)

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 **03/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE BALDWIN GROUP WEALTH ADVISORS, LLC	CRD# 312284	10/09/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	BKS RETIREMENT SERVICES	304266	DUNEDIN, FL	10/16/2019 - 10/04/2024
IA	FIDUCIARY PARTNERS INVESTMENT CONSULTING, LLC	145471	CLEARWATER, FL	11/07/2007 - 10/18/2019
B	MUTUAL SERVICE CORPORATION	4806	CLEARWATER, FL	04/03/2001 - 05/01/2009

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	2

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

Employment 1 of 1

Firm Name: **THE BALDWIN GROUP WEALTH ADVISORS, LLC**

Main Address: 4211 W. BOY SCOUT BLVD.
SUITE 800
TAMPA, FL 33607

Firm ID#: 312284

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	12/10/2024
IA	Texas	Investment Adviser Representative	Approved	10/09/2024

Branch Office Locations

THE BALDWIN GROUP WEALTH ADVISORS, LLC
Dunedin, FL

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/11/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2007

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	10/16/2019 - 10/04/2024	BKS RETIREMENT SERVICES	CRD# 304266	DUNEDIN, FL
IA	11/07/2007 - 10/18/2019	FIDUCIARY PARTNERS INVESTMENT CONSULTING, LLC	CRD# 145471	CLEARWATER, FL
B	04/03/2001 - 05/01/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	CLEARWATER, FL
IA	09/18/2007 - 11/15/2007	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	TAMPA, FL
B	12/23/1998 - 02/16/2001	CPA FINANCIAL ADVISERS, INC.	CRD# 44388	DAYTONA BEACH, FL
B	07/24/1998 - 12/31/1998	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	08/21/1997 - 07/20/1998	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	09/17/1992 - 07/02/1997	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	09/13/1991 - 10/06/1992	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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
10/2024 - Present	THE BALDWIN GROUP WEALTH ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TAMPA, FL, United States
10/2019 - 10/2024	BKS FINANCIAL INVESTMENTS, LLC dba BKS RETIREMENT SERVICES	10/2019 INVESTMENT ADVISER REPRESENTATIVE; 09/2021 VICE PRESIDENT	Y	TAMPA, FL, United States
10/2019 - 09/2021	BKS FINANCIAL INVESTMENTS, LLC dba BKS RETIREMENT SERVICES	CHIEF COMPLIANCE OFFICER/MANAGING PARTNER	Y	TAMPA, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2007 - 10/2019	FIDUCIARY PARTNERS INVESTMENT CONSULTING, LLC	MANAGING MEMBER	Y	CLEARWATER, FL, United States
06/2006 - 10/2019	FIDUCIARY PARTNERS RETIREMENT GROUP, INC.	CEO	Y	CLEARWATER, FL, United States
10/1999 - 10/2019	FIDUCIARY PARTNERS GROUP, LLC	MANAGING MEMBER	Y	CLEARWATER, 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 JEWELL IS THE PRESIDENT OF JEWELL MUSIC ENTERPRISES (SINCE 03/2016). HE COLLECTS INCOME FROM HIS BAND; DUTIES INCLUDE BUSINESS DEVELOPMENT, MARKETING AND ENTERTAINMENT AND CONCERT PROMOTION; NON INVESTMENT RELATED. MR. JEWELL SPENDS APPROXIMATELY 10 HOURS PER WEEK; WEEKEND AND EVENINGS OF HIS TIME ASSOCIATED WITH THE ABOVE OUTSIDE BUSINESS ACTIVITIES.

2)KENNETH IS ALSO THE FOUNDER OF ROCKS THE CURE (SINCE 02/2015) A NON PROFIT ENTITY TO FUND RAISE FOR PEDIATRIC CANCER; DUTIES INCLUDE BUSINESS DEVELOPMENT, MARKETING FUNDRAISING AND CONCERT PROMOTIONS; NON INVESTMENT RELATED. MR. JEWELL SPENDS APPROXIMATELY 10 HOURS PER WEEK; WEEKEND AND EVENINGS OF HIS TIME ASSOCIATED WITH THE ABOVE OUTSIDE BUSINESS ACTIVITIES.

3) KENNETH SERVES AS PRESIDENT ON BEHALF OF THE TAMPA BAY CHARGERS SOCCER CLUB EXECUTIVE BOARD OF DIRECTORS. THE CLUB IS A NON PROFIT ORGANIZATION. NON INVESTMENT RELATED. MR. JEWELL SPENDS APPROXIMATELY 10 HOURS PER WEEK; WEEKEND AND EVENINGS OF HIS TIME ASSOCIATED WITH THE ABOVE OUTSIDE BUSINESS ACTIVITIES.

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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF MICHIGAN DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
Sanction(s) Sought:	Denial
Date Initiated:	12/06/2013
Docket/Case Number:	AGENCY NO. 322263
Employing firm when activity occurred which led to the regulatory action:	FIDUCIARY PARTNERS INVESTMENT CONSULTING, LLC
Product Type:	No Product
Allegations:	NOTICE OF INTENT TO DENY APPLICATION FOR INVESTMENT ADVISER REPRESENTATIVE REGISTRATION WHICH WAS CHALLENGED BY MR. JEWELL
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:	05/14/2014
Sanctions Ordered:	Other: NONE
Broker Statement	ON MAY 14, 2014 THE ADMINISTRATOR WITH THE STATE OF MICHIGAN,

	DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS CORPORATIONS, SECURITIES AND COMMERCIAL LICENSING BUREAU GRANTED KEN JEWELL'S REQUEST TO WITHDRAW HIS REGISTRATION APPLICATION AS AN INVESTMENT ADVISER REPRESENTATIVE WITH THE STATE OF MICHIGAN.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/30/2010
Docket/Case Number:	2009017425001
Employing firm when activity occurred which led to the regulatory action:	MUTUAL SERVICES CORPORATION
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2110, 3030: WHILE EMPLOYED AT A MEMBER FIRM, JEWELL WAS EMPLOYED BY AND ACCEPTED COMPENSATION FROM AN OUTSIDE BUSINESS FOR PROVIDING CONSULTING SUPPORT AND INVESTMENT PLATFORM COORDINATION FOR PARTICIPANTS IN "PROFESSIONAL EMPLOYER ORGANIZATION" PLANS. JEWELL'S BUSINESS ACTIVITIES WERE OUTSIDE THE SCOPE OF HIS RELATIONSHIP WITH HIS FIRM, AND JEWELL DID NOT PROVIDE PROMPT WRITTEN NOTICE TO HIS FIRM OF HIS ACTIVITIES. IN ADDITION, JEWELL INACCURATELY CERTIFIED TO HIS FIRM THAT HE WAS NOT INVOLVED IN ANY OUTSIDE BUSINESS ACTIVITIES.
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:	06/30/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	TWO MONTHS
Start Date:	07/06/2010

End Date:	09/05/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, JEWELL CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE TWO MONTH SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FROM RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT JULY 6, 2010 THROUGH SEPTEMBER 5, 2010.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	07/06/2010
Docket/Case Number:	FINRA CASE #200901742501
Employing firm when activity occurred which led to the regulatory action:	MUTUAL SERVICE CORPORATION
Product Type:	Other: CONSULTING BUSINESS
Allegations:	REGISTERED REPRESENTATIVE UNINTENTIONALLY NEGLECTED TO DISCLOSE OUTSIDE BUSINESS ACTIVITY
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:	06/30/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	REGISTERED REPRESENTATIVE
Duration:	TWO MONTHS
Start Date:	07/06/2010
End Date:	09/05/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

End of Report

This page is intentionally left blank.