



## IAPD Report

# KENNETH RUSSELL BOYD III

CRD# 2156704

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**i** 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 RUSSELL BOYD III (CRD# 2156704)

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 **08/28/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	REALTA EQUITIES, INC.	CRD# 23769	12/14/2021
<b>IA</b>	REALTA INVESTMENT ADVISORS, INC	CRD# 134952	12/14/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>	TRIAD ADVISORS, LLC	25803	INDEPENDENCE, OH	04/15/2010 - 12/16/2021
<b>B</b>	TRIAD ADVISORS LLC	25803	INDEPENDENCE, OH	04/09/2010 - 12/16/2021
<b>IA</b>	WELLS FARGO ADVISORS, LLC	19616	MENTOR, OH	05/06/2008 - 04/12/2010

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

### Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**  
Main Address: 1201 N. ORANGE STREET  
SUITE 729  
WILMINGTON, DE 19801  
Firm ID#: 23769

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	12/14/2021
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	12/14/2021
<b>B</b>	Alabama	Agent	Approved	12/14/2021
<b>B</b>	California	Agent	Approved	12/14/2021
<b>B</b>	Colorado	Agent	Approved	12/14/2021
<b>B</b>	Florida	Agent	Approved	12/14/2021
<b>B</b>	Illinois	Agent	Approved	12/16/2021
<b>B</b>	Kentucky	Agent	Approved	11/07/2023
<b>B</b>	Maryland	Agent	Approved	12/14/2021
<b>B</b>	Mississippi	Agent	Approved	11/06/2023
<b>B</b>	Nevada	Agent	Approved	12/14/2021
<b>B</b>	New Jersey	Agent	Approved	12/14/2021
<b>B</b>	New York	Agent	Approved	12/14/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Ohio	Agent	Approved	12/14/2021
<b>B</b> Pennsylvania	Agent	Approved	12/14/2021
<b>B</b> South Dakota	Agent	Approved	12/14/2021
<b>B</b> Tennessee	Agent	Approved	04/05/2024
<b>B</b> Texas	Agent	Approved	12/14/2021
<b>B</b> Virginia	Agent	Approved	12/14/2021
<b>B</b> Washington	Agent	Approved	12/14/2021
<b>B</b> Wisconsin	Agent	Approved	12/14/2021

### Branch Office Locations

**COASTAL EQUITIES, INC.**  
 THE CHARLTON ABBOTT  
 37903 EUCLID AVENUE  
 WILLOUGHBY, OH 44094

### Employment 2 of 2

Firm Name: **REALTA INVESTMENT ADVISORS, INC**  
 Main Address: 1201 N. ORANGE STREET  
 SUITE 729  
 WILMINGTON, DE 19801  
 Firm ID#: 134952

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	12/14/2021

### Branch Office Locations

**REALTA INVESTMENT ADVISORS, INC**  
 THE CHARLON ABBOTT  
 37903 EUCLID AVENUE  
 WILLOUGHBY, OH 44094



## 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, 5 general industry/product exams, 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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 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/06/2005
 General Securities Representative Examination (S7)	Series 7	06/22/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/02/1991

#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	07/20/2000
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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
IA	04/15/2010 - 12/16/2021	TRIAD ADVISORS, LLC	CRD# 25803	INDEPENDENCE, OH
B	04/09/2010 - 12/16/2021	TRIAD ADVISORS LLC	CRD# 25803	INDEPENDENCE, OH
IA	05/06/2008 - 04/12/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MENTOR, OH
B	05/05/2008 - 04/12/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MENTOR, OH
B	04/02/2007 - 05/08/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CLEVELAND, OH
IA	04/02/2007 - 05/08/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CLEVELAND, OH
IA	02/21/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	CLEVELAND, OH
B	02/17/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	CLEVELAND, OH
IA	07/28/2000 - 02/24/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	MENTOR, OH
B	06/26/2000 - 02/24/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MENTOR, OH
B	08/05/1991 - 10/07/1992	PRUCO SECURITIES CORPORATION	CRD# 5685	
B	08/05/1991 - 10/07/1992	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	

#### 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
12/2021 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
12/2021 - Present	REALTA INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2010 - 12/2021	TRIAD ADVISORS	REGISTERED REP	Y	NORCROSS, GA, 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) THE WAY VIRTUAL OFFICES; WILLOUGHBY, OH; LEASING AND RENTING OFFICE SPACE AND EQUIPMENT; THECHARLTONABBOTT.COM; PRESIDENT, OVERSITE OF PROPERTY MANAGEMENT AND DIRECTION; FLAT FEE OF RENTS COLLECTED; OWN THE BUILDING AND THE PROPERTY MANAGEMENT COMPANY; 10 HOURS PER WEEK DURING NORMAL TRADING HOURS
- (2) MY HOME RENOVATOR, INC.; HICKORY, NC; HOME RENOVATION MARKETING; MYHOMERENOVATOR.COM; BOARD MEMBER, LLC MEMBER, ADVISORY ROLE; COMPENSATION IN THE FORM OF % OF DISTRIBUTIONS; 15% OWNERSHIP OF INC. AND OCCASIONAL LOANS TO ENTITY; 2-5 HOURS PER WEEK DURING NORMAL TRADING HOURS
- (3) HICKORY CROSSINGS, LLC; HICKORY, NC; PROPERTY HOLDING COMPANY; MEMBER, 20% OWNERSHIP; COMPENSATION IN THE FORM OF RENT; PURCHASED 20% OWNERSHIP ON CONVERSION OF ORIGINAL LOAN; NO HOURS DURING TRADING HOURS
- (4) REALTA INVESTMENT ADVISORS, INC.; WILMINGTON, DE; INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE; WWW.REALTAWEALTH.COM; COMPENSATION IN THE FORM OF FEES; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS.
- (5) THE WAY REAL ESTATE SERVICES, LLC; KIRTLAND, OH; REAL ESTATE HOLDING COMPANY; FOUNDER/OWNER OF PROPERTY; COMPENSATION IN THE FORM OF RENT; OWN THE INVESTMENT AND COMMERCIAL PROPERTIES WITHIN THE LLC; 2 HOURS PER WEEK DURING NON TRADING HOURS
- (6) KIRTLAND CITY HALL; WILLOUGHBY, OH; ADVISORY; MUNICIPALITY ZONING MEMBER; OVERSIGHT AND FUNCTIONAL PROCESS GUIDE; NO COMPENSATION; 0 HOURS DURING TRADING HOURS
- (7) JL THOMAS, INC.; CLEVELAND, OH; INSURANCE BGA; WWW.JLTHOMASCO.COM; AGENT SELLING BGA FOR INSURANCE PRODUCTS; COMPENSATION IN THE FORM OF COMMISSIONS; 2-3 HOURS PER WEEK DURING NORMAL TRADING HOURS
- (8) HIS CHILDREN; WILLOUGHBY, OH; 501C NON-PROFIT; AIDES AND FACILITATES THE NEEDS OF TRANSITION ORPHANS; WWW.SUSHIJOS.ORG; BOARD SECRETARY, ADVISORY BOARD AND FUNDRAISING; NO COMPENSATION; 3-5 HOURS PER WEEK DURING NORMAL TRADING HOURS
- (9) THE WAY INVESTMENT ADVISORS, LLC; INDEPENDENCE, OH; INVESTMENT RELATED; DBA MARKETING NAME FOR BUSINESS CONDUCTED THROUGH BD; WWW.PLANTHEWAY.COM; MANAGING PARTNER, BOOKKEEPING, BOARD DIRECTION AND CHAIR; NO COMPENSATION; MAINTAIN 60% OWNERSHIP OF LLC; 0 HOURS DURING TRADING HOURS
- (10) SAVANT TECHNOLOGIES; KIRTLAND, OH; TECHNOLOGY CONSULTING; OUTSOURCE IT NEEDS; MEMBER AND PRESIDENT; COMPENSATION IN THE FORM OF COMMISSIONS; 1/3 OWNER; 2-3 HOURS PER WEEK DURING NON TRADING HOURS
- (11) FACTS CONSULTING, LLC; KIRTLAND, OH; BUSINESS TO BUSINESS STRATEGIC CONSULTING; CONSULTING ON BUSINESS STRATEGY AND DEVELOPMENT; PRESIDENT; COMPENSATION IS NEGOTIATED FEE FOR SERVICES; OWNER OF ENTITY; 2-5 HOURS PER WEEK DURING NORMAL TRADING HOURS
- (12) THE WAY COASTAL DEVELOPMENT SOLUTION, LLC; SANTA ROSA BEACH, FL; HOLDING COMPANY FOR COMMERCIAL TRANSACTION/REAL ESTATE WHOLESALING; MANAGER PARTNER; FEE BASED; 5-10 HOURS PER WEEK SOME DURING NORMAL TRADING HOURS
- (13) THETAXGHOST.COM; WILLOUGHBY, OH; MARKETING LEADS GENERATION; THETAXGHOST.COM; ADVISE ON SETUP, INDUSTRY STANDARDS AND NEEDS, AND MEMBER; 0+ HOURS PER WEEK DURING NON-TRADING HOURS
- (14) SOUTHERN SKY AVIATION; START 11/2023; BIRMINGHAM, AL; CHARTER AIR OPERATIONS; SOUTHERNSKYAVIATION.COM; SYNDICATE OF CHARTER OPERATION - OUTSIDE CONSULTANT; FEES; 5-10 HOURS



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

PER WEEK SOME DURING NORMAL TRADING HOURS

(15) FILLY'S AND STUDS, LLC; WILLOUGHBY, OH; NOT INVESTMENT RELATED; START: 3/2024; LOUNGE IN EVENT CENTER; MANAGING PARTNER; EVENT RENTAL INCOME; 2-3 HOURS PER WEEK DURING NON-TRADING HOURS.

(16) THE WAY ALTERNATIVE INVESTMENT SOLUTIONS GROUP, LLC; DBA; START: 10/2024; 37903 EUCLID AVE WILLOUGHBY, OH 44094; DBA FOR REALTA WEALTH ALTERNATIVE INVESTMENT BROKER AS IAR; WWW.THEWAY-AISG.COM; MANGING PARTNER/PRESIDENT; COMMISSION PAYABLE THROUGH REALTA WEALTH; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(17) MADISON CAPITAL GROUP; START: 8/2025; INVESTMENT RELATED; WWW.MADISONCAPITALGROUP.COM; SALE OI MCG PRIVATE BOND LLC; COMMISSIONS; 10 HOURS PER MONTH NONE DURING NORMAL TRADING HOURS.



## 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
Customer Dispute	1

### 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

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

**Allegations:** CUSTOMER ALLEGES MISREPRESENTATION.

**Product Type:** Insurance

**Alleged Damages:** \$25,000.00

#### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** COURT OF COMMON PLEAS

**Location of Court:** LAKE COUNTY, OHIO

**Docket/Case #:** 09CV002814

**Date Notice/Process Served:** 09/09/2009

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/29/2010

**Monetary Compensation Amount:** \$22,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC  
**Allegations:** CUSTOMER ALLEGES MISREPRESENTATION  
**Product Type:** Insurance  
**Alleged Damages:** \$25,000.00

**Civil Litigation Information**

**Type of Court:** State Court  
**Name of Court:** COURT OF COMMON PLEAS  
**Location of Court:** LAKE COUNTY, OHIO  
**Docket/Case #:** 9CV002814  
**Date Notice/Process Served:** 09/09/2009  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 07/29/2010  
**Monetary Compensation Amount:** \$22,000.00  
**Individual Contribution Amount:** \$0.00



## End of Report

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