



IAPD Report

Renee Grace Faison

CRD# 2197915

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

Renee Grace Faison (CRD# 2197915)

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 **10/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	06/13/2022
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	06/13/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	WORLD EQUITY GROUP, INC.	29087	Irvine, CA	05/22/2020 - 06/13/2022
B	WORLD EQUITY GROUP, INC.	29087	Irvine, CA	07/13/2017 - 06/13/2022
IA	WEALTH TEAMS ALLIANCE	168907	IRVINE, CA	08/01/2017 - 01/21/2021

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

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**
Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288898

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/13/2022
B Arizona	Agent	Approved	06/13/2022
B California	Agent	Approved	06/13/2022
B Georgia	Agent	Approved	06/15/2022
B Hawaii	Agent	Approved	08/03/2022
B Illinois	Agent	Approved	06/13/2022
B Missouri	Agent	Approved	10/03/2024
B Texas	Agent	Approved	06/14/2022

Branch Office Locations

15615 Alton Pkwy
Ste 450
Irvine, CA 92618

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**
Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127



Qualifications

Firm ID#: 288792

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	06/24/2022
IA	California	Investment Adviser Representative	Approved	06/13/2022
IA	Georgia	Investment Adviser Representative	Approved	06/15/2022
IA	Illinois	Investment Adviser Representative	Approved	06/21/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2022

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC

26632 Towne Centre Drive
Suite 300
Foothill Ranch, CA 92610





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/24/1999
 General Securities Principal Examination (S24)	Series 24	11/29/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/17/2003
 General Securities Representative Examination (S7)	Series 7	06/12/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/28/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1996

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	05/22/2020 - 06/13/2022	WORLD EQUITY GROUP, INC.	CRD# 29087	Irvine, CA
B	07/13/2017 - 06/13/2022	WORLD EQUITY GROUP, INC.	CRD# 29087	Irvine, CA
IA	08/01/2017 - 01/21/2021	WEALTH TEAMS ALLIANCE	CRD# 168907	IRVINE, CA
B	08/09/2010 - 07/17/2017	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	COSTA MESA, CA
IA	08/06/2010 - 07/17/2017	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	COSTA MESA, CA
IA	06/07/2004 - 08/10/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LAGUNA HILLS, CA
B	01/14/2000 - 08/10/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LAGUNA HILLS, CA
B	07/21/1998 - 01/20/2000	PAMPEL SECURITIES, INC.	CRD# 43390	NEWPORT BEACH, CA
B	08/02/1996 - 08/10/1998	INVESTMENT ARCHITECTS, INC.	CRD# 17774	PETALUMA, 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
06/2022 - Present	Kingswood Capital Partners, LLC	Registered Rep	Y	Lake Forest, CA, United States
06/2022 - Present	Kingswood Wealth Advisors, LLC	Advisor	Y	Lake Forest, CA, United States
07/2017 - 06/2022	World Equity Group	Registered Representative	Y	Arlington Heights, IL, United States
08/2010 - 07/2017	WOODBURY FINANCIAL SERVICES, INC	REGISTERED REP	Y	HUNTINGTON BEACH, CA, 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.

1) Derrick Faison Foundation

- not investment related
- 15520 Rockfield Blvd #G
- non profit
- president/founder
- 6/2004
- 20 hours
- 0 hours
- focus on heart disease prevention, education, & youth support

2) Faison Wealth Strategy, Insurance Service

- yes investment related
- insurance services, planning
- provide insurance, life, health, disability and lifestyle consulting services
- owner
- 7/2020
- 200 hours
- 40 hours
- Faison Wealth Strategy is the name & brand of my Investment & Brokerage Business. Faison insurance is a DBA of Faison Wealth Strategy and handles insurance

3) Farris Best

- not investment related
- 5020 Klump Ave Ph 621 North Hollywood CA 91601
- CDC & 501C3
- board member, outreach
- 1/2/2022
- 10 hours
- 0 hours
- attend weekly meeting to focus on growing families/community to bring together unity, empowerment, and generational wealth

4) Kingdom Awakening 2020 Magazine

- not investment related
- 25422 Trabuco Rd #105-324 Lake Forest CA 92630
- ministry
- founder
- 6/24/2020
- 1 hour
- 0 hours
- NGP focused on Kingdom building & unity



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:	Individual
Employing firm when activities occurred which led to the complaint:	Woodbury Financial Services, Inc.
Allegations:	Client alleges that the rep described the advantages of her VA policies, but failed to disclose the disadvantages, such as the fees, expenses, and surrender charges.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages would be greater than \$5,000 based on surrender charges.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/29/2015
Complaint Pending?	No
Status:	Denied
Status Date:	10/16/2015
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

The fees, expenses, and surrender charges of the VA policies were disclosed to the client, and the client signed disclosure documents acknowledging that she understood, the fees, expenses and surrender charges.



End of Report

This page is intentionally left blank.