



IAPD Report

KENNETH ANDREW FEIERTAG

CRD# 2297871

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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

KENNETH ANDREW FEIERTAG (CRD# 2297871)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	03/24/2005
IA	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	03/25/2005

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **37** 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	A. G. EDWARDS & SONS, INC.	4	STUART, FL	01/13/1997 - 03/29/2005
B	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO	01/03/1997 - 03/29/2005
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	02/15/1994 - 01/04/1997

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	2
Termination	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 **37** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**
Main Address: 1717 ARCH STREET
PHILADELPHIA, PA 19103
Firm ID#: 463

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/24/2005
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	03/24/2005
B Alabama	Agent	Approved	08/21/2014
B Alaska	Agent	Approved	07/22/2022
B Arizona	Agent	Approved	06/24/2021
B Arkansas	Agent	Approved	02/11/2020
B California	Agent	Approved	03/06/2019
B Colorado	Agent	Approved	02/07/2024
B Connecticut	Agent	Approved	03/24/2005
B Delaware	Agent	Approved	03/29/2011
B District of Columbia	Agent	Approved	11/07/2023
B Florida	Agent	Approved	03/24/2005



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	03/25/2005
B Georgia	Agent	Approved	03/24/2005
B Hawaii	Agent	Approved	07/23/2025
B Illinois	Agent	Approved	05/19/2026
B Indiana	Agent	Approved	01/10/2008
B Kentucky	Agent	Approved	03/30/2026
B Louisiana	Agent	Approved	08/05/2025
B Maine	Agent	Approved	12/09/2024
B Maryland	Agent	Approved	02/04/2010
B Massachusetts	Agent	Approved	03/24/2005
B Michigan	Agent	Approved	12/06/2007
B Minnesota	Agent	Approved	05/28/2019
B Missouri	Agent	Approved	12/12/2018
B Nevada	Agent	Approved	10/19/2020
B New Jersey	Agent	Approved	03/24/2005
IA New Jersey	Investment Adviser Representative	Approved	10/08/2008
B New York	Agent	Approved	03/24/2005
B North Carolina	Agent	Approved	03/24/2005
IA North Carolina	Investment Adviser Representative	Approved	05/20/2013



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	04/10/2023
B Oregon	Agent	Approved	08/08/2014
B Pennsylvania	Agent	Approved	03/24/2005
B Rhode Island	Agent	Approved	07/22/2025
B South Carolina	Agent	Approved	06/14/2006
B Tennessee	Agent	Approved	06/11/2008
B Texas	Agent	Approved	03/24/2005
IA Texas	Investment Adviser Representative	Restricted Approval	12/02/2021
B Vermont	Agent	Approved	05/21/2008
B Virginia	Agent	Approved	05/20/2008
B Washington	Agent	Approved	02/13/2024
B West Virginia	Agent	Approved	01/21/2022

Branch Office Locations

JANNEY MONTGOMERY SCOTT LLC
309 SE OSCEOLA STREET
SUITE 207/208
STUART, FL 34994



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, 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	07/14/2009
 General Securities Representative Examination (S7)	Series 7	09/01/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/1992

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	01/13/1997 - 03/29/2005	A. G. EDWARDS & SONS, INC.	CRD# 4	STUART, FL
B	01/03/1997 - 03/29/2005	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	02/15/1994 - 01/04/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	09/02/1993 - 11/10/1993	REICH & CO., INC.	CRD# 19611	

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
03/2005 - Present	JANNEY MONTGOMERY SCOTT LLC	REGISTERED REPRESENTATIVE	Y	PHILADELPHIA, PA, 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) HOA board of Palm Pointe; Coco Palm Dr. Palm city, FL 34990; start date 12/10/2018; HOA president; not compensated; 2hrs/month; President of HOA and the ARB of the community as well; not investment-related
- 2) Headbanger Sports; not investment related; Palm City, FL 34990; Owner; start date: 01/2014
- 3) Feiertag Horse Stables, Palm City, FL. Owner (05/2022) - buy/sell anything related to racing horses. Which includes vet bills, transportation and anything related to getting horses ready to race. Not investment related, 5 hours/week.
- 4) M375 Thoroughbreds, Stuart, FL. Partner (12/2025) - buy/sell horses. Not investment related, 3 hours/month, not compensated.
- 5) Winning Move Stables, Plainview, NY. Partner (02/2025) - buy and sell thoroughbreds horses. Not investment related, 3 hours/month, not compensated.



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	2
Termination	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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGED SHE WAS CHARGED HIGH ANNUAL FEES WHEN THERE WAS NO ACTIVITY IN HER ACCOUNT. DAMAGES WERE UNSPECIFIED. DATES OF ACTIVITY: 1998 TO 2005.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/05/2005

Complaint Pending? No

Status: Settled

Status Date: 07/06/2005

Settlement Amount: \$18,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGED SHE WAS CHARGED HIGH ANNUAL FEES WHEN THERE WAS NO ACTIVITY IN HER ACCOUNT. DAMAGES WERE UNSPECIFIED. DATES OF ACTIVITY: 1998 TO 2005.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/05/2005

Complaint Pending? No

Status: Settled

Status Date: 07/06/2005

Settlement Amount: \$18,000.00

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER WAS A CLIENT OF MINE WHILE I WAS EMPLOYED AT AG EDWARDS. CUSTOMER WANTED TO TRANSFER A SUBSTANTIAL SUM OF MONEY TO AG EDWARDS THAT WAS INVESTED IN NO-LOAD FUNDS HELD AT 2 MUTUAL FUNDS. AG EDWARDS REQUIRED CLIENTS TO EXCLUSIVELY HOLD NO-LOAD FUNDS IN WRAP ACCOUNTS THAT CHARGED ANNUAL FEES. CUSTOMER AGREED TO HOLD THESE ASSETS IN A WRAP ACCOUNT AND NEVER COMPLAINED FOR THE 7 YEARS SHE HELD THOSE ASSETS IN THAT ACCOUNT UNTIL I LEFT THE EMPLOY OF AG EDWARDS.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: ALLEGES VIOLATION OF FLORIDA STATUTES; NEGLIGENCE AND BREACH OF CONTRACT; VIOLATION OF NYSE AND NASD RULES; UNSUITABLE INVESTMENTS; BREACH OF FIDUCIARY DUTY.

Product Type: Mutual Fund(s)

Alleged Damages: \$116,133.26

Customer Complaint Information

Date Complaint Received: 01/22/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/16/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: A.G.EDWARDS & SONS, INC.

Termination Type: Discharged

Termination Date: 03/04/2005

Allegations: DISCHARGED AFTER ADMITTING THAT THE TESTIMONY HE GAVE IN ARBITRATION IN WHICH HE WAS NOT NAMED, WAS INCONSISTENT WITH THE ACTIVITY.

Product Type: No Product

Other Product Types:

Firm Statement DURING A CUSTOMER INITIATED ARBITRATION IN WHICH MR. FEIERTAG WAS NOT NAMED, HE PRODUCED WRITTEN NOTES OF CONVERSATIONS WITH THE CLIENT WHICH HE TESTIFIED WERE PREPARED CONTEMPORANEOUSLY. PRIOR TO THE CONCLUSION OF THE HEARING, MR. FEIERTAG RECANTED HIS PRIOR TESTIMONY TO THE PANEL AND ADMITTED THAT THE NOTES WERE NOT CONTEMPORANEOUS AND HAD BEEN PREPARED AFTER THE COMPLIANT HAD BEEN FILED. THE FIRM TOOK CORRECTIVE ACTION BY DISCHAGING MR. FEIERTAG.

Reporting Source: Individual

Firm Name: A. G. EDWARDS & SONS, INC.

Termination Type: Discharged

Termination Date: 03/04/2005

Allegations: DISCHARGED AFTER ADMITTING THAT THE TESTIMONY THAT HE GAVE IN ARBITRATION IN WHICH HE WAS NOT NAMED, WAS INCONSISTENT WITH THE ACTIVITY.

Product Type: No Product

Other Product Types:

Broker Statement DURING A CUSTOMER INITIATED ARBITRATION IN WHICH MR. FEIERTAG WAS NOT NAMED, HE PRODUCED WRITTEN NOTES OF CONVERSATIONS WITH THE CLIENT WHICH HE TESTIFIED WERE PREPARED CONTEMPORANEOUSLY. PRIOR TO THE CONCLUSION OF THE HEARING, MR. FEIERTAG RECANTED HIS PRIOR TESTIMONY TO THE PANEL AND ADMITTED THAT THE NOTES WERE NOT CONTEMPORANEOUS AND HAD BEEN PREPARED AFTER THE COMPLAINT HAD BEEN FILED. THE FIRM TOOK CORRECTIVE ACTION BY DISCHARGING MR. FEIERTAG.



End of Report

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