IAPD Report

Robert D Wong

CRD# 2508357

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Robert D Wong (CRD# 2508357)

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 **12/06/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	10/01/2018
IA	CAPITAL WEALTH ALLIANCE, LLC	CRD# 298257	10/04/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SCOTTSDALE, AZ	10/24/2012 - 10/03/2018
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SCOTTSDALE, AZ	03/01/2002 - 10/03/2018
B	FIRST UNION SECURITIES, INC.	19616	ST. LOUIS, MO	05/11/1998 - 03/11/2002

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	3

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 **8** 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 Principal	Approved	10/01/2018
B	FINRA	General Securities Representative	Approved	10/01/2018
B	FINRA	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	10/01/2018
B	California	Agent	Approved	10/02/2018
B	New Jersey	Agent	Approved	10/01/2018
B	New York	Agent	Approved	10/01/2018
B	Pennsylvania	Agent	Approved	10/01/2018
B	South Dakota	Agent	Approved	12/07/2022
B	Wisconsin	Agent	Approved	10/01/2018

Branch Office Locations

17015 N. Scottsdale Road
Suite 250
Scottsdale, AZ 85255

17015 N. Scottsdale Road
Suite 250
Scottsdate, AZ 85255

Qualifications

Employment 2 of 2

Firm Name: **CAPITAL WEALTH ALLIANCE, LLC**

Main Address: 17015 NORTH SCOTTSDALE ROAD
SUITE 250
SCOTTSDALE, AZ 85255

Firm ID#: 298257

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	10/09/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	10/04/2018

Branch Office Locations

CAPITAL WEALTH ALLIANCE, LLC
17015 NORTH SCOTTSDALE ROAD
SUITE 250
SCOTTSDALE, AZ 85255

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	09/04/2008
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/22/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/09/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/08/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1994

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	10/24/2012 - 10/03/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SCOTTSDALE, AZ
B	03/01/2002 - 10/03/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SCOTTSDALE, AZ
B	05/11/1998 - 03/11/2002	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	06/30/1997 - 05/11/1998	PRINCIPAL FINANCIAL SECURITIES,INC.	CRD# 260	DALLAS, TX
B	09/26/1994 - 06/20/1997	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
10/2018 - Present	CAPITAL WEALTH ALLIANCE, LLC	PARTNER/CHIEF COMPLIANCE OFFICER	Y	SCOTTSDALE, AZ, United States
10/2018 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	REGISTERED REPRESENTATIVE	Y	San Diego, CA, United States
10/2006 - Present	RDW & ASSOCIATES	OWNER/PRESIDENT	Y	SCOTTSDALE, AZ, United States
10/2002 - 10/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE/BRANCH MANAGER	Y	SCOTTSDALE, AZ, United States
03/2002 - 10/2018	RAYMOND JAMES FINANCIAL SERVICES	REGISTERED REPRESENTATIVE/BRANCH MANAGER	Y	SCOTSDALE, AZ, 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) RDW & ASSOCIATES, INC., SCOTTSDALE, AZ, 10/16/2006 TO PRESENT -SUPPORT COMPANY/DBA (OWNER) - S CORP FOR Capital Wealth Holdings and Affiliates for BUSINESS AND PAYMENT OF BILLS - 0 HOURS PER MONTH - 0 HOURS DURING TRADING HOURS - NOT INVESTMENT RELATED.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2) Capital Wealth Holdings LLC. Address: Scottsdale, AZ Nature of the Business: Business Owner Position/Title: Partner Investment Related: No Start Date: 07/11/2018 Hours per month devoted to this business: 15 Hours per month devoted to this business during trading hours: 0 Description of duties: managing member of LLC.

3) Capital Wealth Alliance, LLC - Address: Scottsdale, AZ Nature of the Business: Business Owner - Position/Title: Partner Investment Related: No - Start Date: 10/01/2018 - Hours per month devoted to this business: 120 - Hours per month devoted to this business during trading hours: 100 - Description of duties: CCO and IAR

4) Capital Wealth Insurance LLC
- No
- 17015 N Scottsdale Rd Ste 250, Scottsdale AZ 85255
- Insurance
- Partner & Agent
- 10/2/18
- 5hrs/mo
- 5hrs/mo during trading hrs
- Insurance agent & managing partner

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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	UNSUITABLE TRADING IN EQUITY SECURITIES, ONE UNAUTHORIZED PURCHASE IN AN EQUITY SECURITY, AND POORR PERFORMANCE OF CERTAIN INVESTMENTS THAT WERE RECOMMENDED BY THE FINANCIAL CONSULTANT. THE CUSTOMER SOUGHT TO HAVE ANY AND ALL LOSSES RETURNED TO HER BY THE FIRM. THE FIRM'S CALCULATIONS OF THE LOSSES DISCLOSED THAT THEY WERE APPROXIMATELY $30,000.00 AT THE TIME THE LETTER OF COMPLAINT WAS RECEIVED.
Product Type:	
Alleged Damages:	$30,000.00

Customer Complaint Information

Date Complaint Received:	08/25/1998
Complaint Pending?	No
Status:	Denied
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	EVERN'S INVESTIGATION OF THE CUSTOMER'S

ALLEGATIONS DISCLOSED THAT THE CLAIM WAS COMPLETELY DEVOIID OF
ANY MERIT WHATSOEVER.
NOT PROVIDED

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: UNAUTHORIZED TRADES, USE OF INSIDE INFORMATION

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/17/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $42,400.00

Individual Contribution Amount: $0.00

Firm Statement OLDE SETTLED WITH THE CLIENT FOR APPROXIMATELY $42,400.00 THE REGISTERED REPRESENTATIVE DID NOT CONTRIBUTE TO THE SETTLEMENT
REGISTERED REPRESENTATIVE DENIES UNAUTHORIZED TRADING, THE USE OF INSIDE INFORMATION OR PURPORTED INSIDE INFORMATION OR ANY OTHER ACTION WHICH WOULD GIVE RISE TO A VALID CLAIM. A REVIEW OF RR'S OTHER ACCOUNTS WAS MADE AND NO OTHER SIMILAR ACTS WERE DISCOVERED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: ORIGINALLY REPORTED BY OLDE DISCOUNT CORP.
UNAUTHORIZED TRADES, USE OF INSIDE INFORMATION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/17/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount:	$42,400.00
Individual Contribution Amount:	$0.00
Broker Statement	OLDE SETTLED WITH THE CLIENT FOR APPROXIMATELY $42,400.00. THE REGISTERED REPRESENTATIVE DID NOT CONTRIBUTE TO THE SETTLEMENT. THE REGISTERED REPRESENTATIVE DENIES UNAUTHORIZED TRADING, THE USE OF INSIDE INFORMATION, OR PURPORTED INSIDE INFORMATION OR ANY OTHER ACTION WHICH WOULD GIVE RISE TO A VALID CLAIM. A REVIEW OF RR`S OTHER ACCOUNTS WAS MADE AND NO OTHER SIMILAR ACTS WERE DISCOVERED. THE RECOMMENDATIONS MADE WERE CONSISTANT WITH THE CUSTOMER`S OBJECTIVES AND TRADING HISTORY. THE INFORMATION PROVIDED WAS GENERATED FROM OLDE, NOT INSIDE INFORMATION.

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	EXECUTIONS-EXECUTION PRICE
Product Type:	
Alleged Damages:	$225.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #96-02553
Date Notice/Process Served:	06/20/1996
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	10/22/1996
Disposition Detail:	AWARD AGAINST PARTY ***CLAIMANT WAS AWARDED $112.50, WHICH WONG SHALL PAY***

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OLDE DISCOUNT CORPORATION
Allegations:	EXECUTIONS - EXECUTION PRICE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$225.00

Customer Complaint Information

Date Complaint Received:	06/20/1996
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/22/1996
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD# 96-02553
Date Notice/Process Served:	06/20/1996
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/22/1996
Monetary Compensation Amount:	$112.50
Individual Contribution Amount:	$0.00
Broker Statement	AWARD AGAINST PARTY *** CLAIMANT WAS AWARDED $112.50, WHICH WAS PAID BY FIRM

End of Report

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