



IAPD Report

WILLIAM KENAN KELLY

CRD# 2606620

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



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

WILLIAM KENAN KELLY (CRD# 2606620)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	06/12/2024
IA	NATIONWIDE INVESTMENT ADVISORS, LLC	CRD# 142373	10/29/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	MML DISTRIBUTORS, LLC	38030	SPRINGFIELD, MA	11/01/2017 - 12/31/2020
B	VOYA FINANCIAL PARTNERS, LLC	34815	WINDSOR, CT	02/09/2015 - 07/28/2017
B	VOYA FINANCIAL ADVISORS, INC.	2882	NATICK, MA	02/16/2012 - 02/09/2015

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

Employment 1 of 2

Firm Name: **NATIONWIDE INVESTMENT ADVISORS, LLC**
Main Address: ONE NATIONWIDE PLAZA
03-07-202
COLUMBUS, OH 43215
Firm ID#: 142373

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	10/29/2025

Branch Office Locations

NATIONWIDE INVESTMENT ADVISORS, LLC
ONE NATIONWIDE PLAZA
03-07-202
COLUMBUS, OH 43215

Employment 2 of 2

Firm Name: **NATIONWIDE INVESTMENT SERVICES CORPORATION**
Main Address: ONE NATIONWIDE PLAZA
1-33-401
COLUMBUS, OH 43215
Firm ID#: 7110

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	06/12/2024
B Maine	Agent	Approved	04/03/2025
B Massachusetts	Agent	Approved	07/31/2024
B New Hampshire	Agent	Approved	04/01/2025
B Rhode Island	Agent	Approved	04/02/2025



Qualifications

Branch Office Locations

NATIONWIDE INVESTMENT SERVICES CORPORATION
ONE NATIONWIDE PLAZA
COLUMBUS, OH 43215



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

Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/14/1997

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	07/05/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/27/1995

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/28/2025
Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/2024

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
B	11/01/2017 - 12/31/2020	MML DISTRIBUTORS, LLC	CRD# 38030	SPRINGFIELD, MA
B	02/09/2015 - 07/28/2017	VOYA FINANCIAL PARTNERS, LLC	CRD# 34815	WINDSOR, CT
B	02/16/2012 - 02/09/2015	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	NATICK, MA
B	06/25/2008 - 02/24/2012	ING FINANCIAL ADVISERS, LLC	CRD# 34815	WINDSOR, CT
B	04/28/1995 - 06/23/2008	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
B	04/28/1995 - 12/17/2001	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN

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
06/2024 - Present	NATIONWIDE INVESTMENT SERVICES CORPORATION	Registered Rep	Y	Columbus, OH, United States
09/2017 - 06/2024	MML DISTRIBUTORS, LLC	REGISTERED REP	Y	Enfield, CT, United States
08/2017 - 06/2024	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY	Managing Director	Y	Springfield, MA, United States
09/2014 - 09/2017	VOYA FINANCIAL	REGIONAL DIRECTOR OF SALES	Y	WALTHAM, MA, United States
02/2015 - 06/2017	VOYA FINANCIAL PARTNERS, LLC	REGISTERED REP	Y	NATICK, MA, 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.

No information reported.



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	1
Termination	1

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 1

Reporting Source: Regulator

Regulatory Action Initiated By: Massachusetts Securities Division

Sanction(s) Sought: Other: Conditional Registration

Date Initiated: 01/10/2019

Docket/Case Number: R-2018-0068

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: VOYA Financial Partners, LLC

Product Type: No Product

Allegations: Kelly has been the subject of two disclosure incidents consisting of an internal review and a termination while Kelly was employed at VOYA Financial Partners, LLC. According to the internal review disclosure: "during routine G&E monitoring the Firm identified Mr. Kelly exceeded G&E limits. As part of that internal review it was discovered that Mr. Kelly also submitted expense reports and received reimbursement for expenses that were personal and not business related." The internal review was conducted on or around November 1, 2016 until June 29, 2017, the date VOYA Financial Partners, LLC terminated Kelly's employment. FINRA conducted an inquiry regarding Kelly's Uniform Termination Notice for Securities Industry Registration ("Form U5") filed by VOYA Financial Partners and issued a cautionary action letter.

Current Status: Final

Resolution: Consent Order - Conditional Registration



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:

01/10/2019

Sanctions Ordered:

Undertaking

Other: For a period of two (2) years Kelly must be supervised on a heightened basis to include: (1) For all of Kelly's reimbursable expenses, Kelly must notify Hicks, or Hick's successor, as to the expense type, reason for expense and identification of internal and external participants in the reimbursable event before the occurrence of the reimbursable expense (the "Notification"). The Notification must be memorialized in writing; (2) Prior to MML disbursing the reimbursement, Hicks, or Hicks's successor, must compare the requests to the Notification. All reviews must be undertaken to detect and prevent potential violations of MML policies and procedures and be memorialized in writing including but not limited to, expense type, estimated amount, identification and verification of internal and external participants in the reimbursable event; and (3) The compliance department's audit of Kelly's Office must occur at Kelly's Office and must include a mandatory review of Kelly's expense reimbursements. All reviews must be undertaken to detect and prevent potential violations of MML policy and procedures and be memorialized in writing including but not limited to, expense type, estimated amount, identification and verification of internal and external participants in the reimbursable event. Two years after the entry of the Order, Kelly will submit an affidavit stating that he has fully complied with all conditions of the Order.

Regulator Statement

Registration conditions applied to Kelly's BD agent registration in Massachusetts due to internal review and termination from VOYA Financial Partners, LLC.

Reporting Source:

Individual

Regulatory Action Initiated By:

Massachusetts Securities Division

Sanction(s) Sought:

Other: conditional registration

Date Initiated:

01/10/2019

Docket/Case Number:

R-2018-0068

Employing firm when activity occurred which led to the regulatory action:

VOYA Financial Partners LLC

Product Type:

No Product

Allegations:

Mr. Kelly was subject to two disclosure incidents consisting of an internal review and termination while employed at VOYA Financial Partners, LLC. According to the internal review disclosure: "during routine G&E monitoring the Firm identified Mr. Kelly exceeded G&E limits. As part of that internal review it was discovered that Mr. Kelly also submitted expense reports and received reimbursement for expenses that were personal and not business related." The internal review was conducted on or around November 1, 2016 until June 29, 2017, the date VOYA Financial Partners LLC terminated Kelly's employment. FINRA conducted an inquiry regarding Kelly's Uniform Termination Notice for Securities Industry Registration ("Form U5") filed by VOYA Financial Partners and issued a cautionary letter.



Current Status:	Final
Resolution:	Consent 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:	01/10/2019
Sanctions Ordered:	Undertaking



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:	Individual
Firm Name:	Voya Financial Advisors
Termination Type:	Discharged
Termination Date:	06/29/2017
Allegations:	During routine G&E monitoring the Firm identified Mr. Kelly exceeded G&E limits. As part of that internal review it was discovered that Mr. Kelly also submitted expense reports and received reimbursement for expenses that were personal and not business related.
Product Type:	No Product



End of Report

This page is intentionally left blank.