



IAPD Report

CONRAD KENNETH BRANSON

CRD# 2939162

<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

CONRAD KENNETH BRANSON (CRD# 2939162)

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 **04/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	06/21/2022
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	12/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	KINGSWOOD CAPITAL PARTNERS, LLC	288898	SAN DIEGO, CA	06/21/2022 - 09/23/2022
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MILL VALLEY, CA	05/10/2013 - 06/22/2022
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MILL VALLEY, CA	05/10/2013 - 06/22/2022

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
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 **12** 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
	FINRA	General Securities Representative	Approved	12/08/2022
	Arizona	Agent	Approved	05/29/2024
	California	Agent	Approved	12/20/2022
	Idaho	Agent	Approved	12/20/2022
	Nevada	Agent	Approved	06/11/2025
	North Carolina	Agent	Approved	07/31/2024

Branch Office Locations

Kentfield, CA

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**
Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288792

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	07/07/2022



Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	06/21/2022
IA	Florida	Investment Adviser Representative	Approved	06/29/2022
IA	Idaho	Investment Adviser Representative	Approved	06/23/2022
IA	Maine	Investment Adviser Representative	Approved	06/22/2022
IA	Nevada	Investment Adviser Representative	Approved	06/29/2022
IA	New Mexico	Investment Adviser Representative	Approved	06/22/2022
IA	New York	Investment Adviser Representative	Approved	06/21/2022
IA	North Carolina	Investment Adviser Representative	Approved	06/22/2022
IA	Oregon	Investment Adviser Representative	Approved	06/22/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	04/10/2025
IA	Virginia	Investment Adviser Representative	Approved	07/02/2022

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
Kentfield, CA



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

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	09/29/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/29/2002
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/1997



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	06/21/2022 - 09/23/2022	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	SAN DIEGO, CA
B	05/10/2013 - 06/22/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MILL VALLEY, CA
IA	05/10/2013 - 06/22/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MILL VALLEY, CA
B	06/01/2009 - 06/07/2013	MORGAN STANLEY	CRD# 149777	SAN RAFAEL, CA
IA	06/01/2009 - 06/07/2013	MORGAN STANLEY	CRD# 149777	SAN RAFAEL, CA
IA	02/19/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SAN RAFAEL, CA
B	02/15/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SAN RAFAEL, CA
B	05/29/2007 - 03/03/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MILL VALLEY, CA
IA	05/29/2007 - 03/03/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MILL VALLEY, CA
IA	08/29/2002 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	MILL VALLEY, CA
B	09/30/1997 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	MILL VALLEY, 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	Kentfield, CA, United States
06/2022 - Present	Kingswood Wealth Advisors, LLC	Advisor	Y	Kentfield, CA, United States
05/2013 - 06/2022	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	MILL VALLEY, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2013 - 06/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANICAL ADVISOR	Y	MILL VALLEY, CA, 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) Parlor Bar (DBA Old Town Tap)

- not investment related
- 10164 Donner Pass Rd #1 Truckee, CA 96161
- restaurant
- fractional owner
- 2016
- 0
- 0
- none/passive

2) Oak Hill School

- not investment related
- 30 Sunny Hills Drive San Anselmo, CA 94960
- non profit school for Autism
- Board of directors
- 6/2010
- 4 hours
- 0 hours
- review school operations and finances

3) Birchwood Wealth Advisors

- yes investment related
- 15 Elm Ave Kentfield CA 94904
- DBA for Kingswood US
- president
- 6/22
- 160 hours
- all
- this is my DBA for my relationship with Kingswood.



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
Customer Dispute	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: FINRA

Sanction(s) Sought:

Date Initiated: 08/23/2022

Docket/Case Number: [2020066687601](#)

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Branson consented to the sanctions and to the entry of findings that he engaged in unauthorized trading in customer accounts held by the same family. The findings stated that Branson effected unauthorized transactions in the accounts without the family's prior authorization, knowledge, or consent for the trades. Branson's member firm has compensated the family \$78,919 for losses resulting from the unauthorized transactions. The findings also stated that Branson exercised discretionary authority in some of the family's accounts without obtaining prior written authorization from the family and without having the accounts accepted as discretionary accounts by the firm. Branson also exercised discretionary authority in two other customers' accounts without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary accounts by the firm.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

08/23/2022

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: 45 Days
Start Date: 09/19/2022
End Date: 11/02/2022

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 08/30/2022
Was any portion of penalty waived? No

Amount Waived:
.....

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 08/23/2022
Docket/Case Number: [2020066687601](#)
Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED



Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Branson consented to the sanctions and to the entry of findings that he engaged in unauthorized trading in customer accounts held by the same family. The findings stated that Branson effected unauthorized transactions in the accounts without the family's prior authorization, knowledge, or consent for the trades. Branson's member firm has compensated the family \$78,919 for losses resulting from the unauthorized transactions. The findings also stated that Branson exercised discretionary authority in some of the family's accounts without obtaining prior written authorization from the family and without having the accounts accepted as discretionary accounts by the firm. Branson also exercised discretionary authority in two other customers' accounts without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary accounts by the firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/23/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	09/19/2022
End Date:	11/02/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/30/2022
Was any portion of penalty waived?	No
Amount Waived:	



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:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	Client alleges unauthorized trading from September 2019 to February 2020.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages are not specified.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/14/2020
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2020
Settlement Amount:	\$34,341.00
Individual Contribution Amount:	\$0.00
Broker Statement	The Financial Advisor denies the allegations of wrongdoing and believes there was a misunderstanding. The Financial Advisor was not asked to, nor did he contribute monetarily towards the settlement.



End of Report

This page is intentionally left blank.