



IAPD Report

KENNETH MICHAEL HELMAN

CRD# 3114948

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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 MICHAEL HELMAN (CRD# 3114948)

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 **03/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	05/13/2016
IA	WELLS FARGO ADVISORS	CRD# 11025	05/16/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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	OPPENHEIMER & CO. INC.	249	SADDLE BROOK, NJ	05/14/2009 - 06/01/2016
B	OPPENHEIMER & CO. INC.	249	SADDLE BROOK, NJ	01/02/2009 - 06/01/2016
B	MORGAN STANLEY & CO. INCORPORATED	8209	PEARL RIVER, NY	04/02/2007 - 01/06/2009

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



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

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/13/2016
B	FINRA	General Securities Sales Supervisor	Approved	05/13/2016
B	Alabama	Agent	Approved	11/24/2025
B	Alaska	Agent	Approved	06/08/2022
B	Arizona	Agent	Approved	11/02/2016
B	Arkansas	Agent	Approved	12/02/2021
B	California	Agent	Approved	05/13/2016
B	Colorado	Agent	Approved	05/13/2016
B	Connecticut	Agent	Approved	05/13/2016
B	Delaware	Agent	Approved	07/15/2019
B	District of Columbia	Agent	Approved	07/15/2019
B	Florida	Agent	Approved	05/13/2016
B	Georgia	Agent	Approved	07/15/2019



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	10/28/2021
B Idaho	Agent	Approved	04/08/2022
B Illinois	Agent	Approved	04/02/2020
B Indiana	Agent	Approved	04/22/2020
B Iowa	Agent	Approved	06/08/2022
B Kentucky	Agent	Approved	02/09/2024
B Louisiana	Agent	Approved	09/21/2023
B Maine	Agent	Approved	03/11/2022
B Maryland	Agent	Approved	05/13/2016
B Massachusetts	Agent	Approved	05/18/2017
B Michigan	Agent	Approved	09/20/2017
B Mississippi	Agent	Approved	06/15/2023
B Missouri	Agent	Approved	02/23/2017
B Nevada	Agent	Approved	05/13/2016
B New Hampshire	Agent	Approved	08/09/2023
B New Jersey	Agent	Approved	05/13/2016
IA New Jersey	Investment Adviser Representative	Approved	05/16/2016
B New Mexico	Agent	Approved	07/15/2019
B New York	Agent	Approved	05/13/2016



Qualifications

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	03/24/2022
B	North Carolina	Agent	Approved	01/23/2017
B	Ohio	Agent	Approved	08/23/2020
B	Oklahoma	Agent	Approved	11/24/2025
B	Oregon	Agent	Approved	08/19/2019
B	Pennsylvania	Agent	Approved	05/13/2016
B	Puerto Rico	Agent	Approved	07/18/2017
B	Rhode Island	Agent	Approved	02/27/2024
B	South Carolina	Agent	Approved	05/13/2016
IA	South Carolina	Investment Adviser Representative	Approved	11/03/2023
B	South Dakota	Agent	Approved	06/08/2022
B	Tennessee	Agent	Approved	07/13/2023
B	Texas	Agent	Approved	10/04/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	10/05/2017
B	Utah	Agent	Approved	12/02/2021
B	Virginia	Agent	Approved	08/03/2020
B	Washington	Agent	Approved	05/13/2016
B	West Virginia	Agent	Approved	10/30/2023



Qualifications

Branch Office Locations

WELLS FARGO ADVISORS
401 HACKENSACK AVE
STE 901
HACKENSACK, NJ 07601

WELLS FARGO ADVISORS
PARK RIDGE, NJ

WELLS FARGO ADVISORS
1 BLUE HILL PLAZA - 11TH FLOOR
[SATELLITE]
PEARL RIVER, NY 10965





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 - General Module Examination (S10)	Series 10	09/21/2001
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	07/27/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	04/28/2003
 General Securities Representative Examination (S7)	Series 7	09/24/1998

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/27/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/1998

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	05/14/2009 - 06/01/2016	OPPENHEIMER & CO. INC.	CRD# 249	SADDLE BROOK, NJ
B	01/02/2009 - 06/01/2016	OPPENHEIMER & CO. INC.	CRD# 249	SADDLE BROOK, NJ
B	04/02/2007 - 01/06/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PEARL RIVER, NY
B	10/15/1998 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	PEARL RIVER, NY

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
05/2016 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	PARAMUS, NJ, 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.

- RENTAL PROPERTY, INV RELATED, PASSAIC, NJ, 100% OWNERSHIP WITH SPOUSE, START 10/1/1999, ZERO HOURS PER MONTH, LANDLORD.
- NJRP LLC, INV RELATED, PARK RIDGE, NJ, 100% OWNERSHIP WITH SPOUSE, START 1/1/2019, ZERO HOURS PER MONTH, ZERO DURING TRADING, HOLDS REAL ESTATE.
- ARK ASSET ADVISORS; INV RELATED; HACKENSACK, NJ; OWNER; FOR FINET PRACTICE; START: 5/2016; 20 HRS/MO; 1 HR/MO DURING TRADING.
- RENTAL PROPERTY, INVT RELATED, HILTON HEAD, SC, 100% OWNERSHIP WITH SPOUSE, START DATE 2/26/2020, 0 HRS PER MONTH, 0 HRS DURING TRADING, OWNER.
- ALEXISANDJUSTIN INC; INV. RELATED; HACKENSACK,NJ; 100% OWNERSHIP; START DATE 05/01/2016; NUMBER OF HOURS PER MONTH 0; NUMBER OF HOURS DURING TRADING 0; FINET PRACTICE.
- SCRP, LLC; NOT INV. RELATED; PARK RIDGE,NJ; 100% OWNERSHIP WITH SPOUSE; START DATE 09/01/2022; NUMBER OF HOURS PER MONTH 0; NUMBER OF HOURS DURING TRADING 0; HOLDS RENTAL PROPERTY.
- RENTAL PROPERTY, INV RELATED, SEVIERVILLE, TN, 100% OWNERSHIP WITH SPOUSE, START: 2/16/24, 0 HRS PER MONTH/TRADING;
- RENTAL PROPERTY - MINGUS; INV RELATED; SEDONA, AZ; RENTAL;50% OWNERSHIP; START DATE: 12/01/2025; 1 HRS PER MONTH; 0 HRS DURING TRADING; |
- COMMERCIAL RENTAL PROPERTY - 2 UNION ST -; INV RELATED; SPARKILL, NY; COMMERCIAL BUILDING WITH RESTAURANT;99% OWNER% OWNERSHIP; START DATE: 04/15/2026; 1 HRS PER MONTH; 0 HRS DURING TRADING;
- SMOKIN ROOSTER LLC ; INV RELATED; SPARKILL, NY; OWNERSHIP IN RESTAURANT OCCUPYING THE COMMERICAL BUILDING I AM PURCHASING;50% OWNERSHIP% OWNERSHIP; START DATE: 02/18/2026; 1 HRS PER MONTH; 0 HRS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DURING TRADING;

TKRP LLC; INV RELATED; SPARKILL, NY; LLC TO PURCHASE AND OWN A COMMERCIAL REAL ESTATE BUILDING; 99% OWNERSHIP; START DATE: 02/18/2026; 1 HRS PER MONTH; 0 HRS DURING TRADING;



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

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:	MORGAN STANLEY & CO., INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT FROM JAN 99 TO JAN 09 THE FA INVESTED THE CLIENTS IRA IN UNSUITABLE MUTUAL FUNDS.
Product Type:	Other: IRA, MUTUAL FUND
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-01345
Filing date of arbitration/CFTC reparation or civil litigation:	03/15/2010

Customer Complaint Information

Date Complaint Received:	04/01/2010
Complaint Pending?	No



Status: Settled
Status Date: 02/02/2011
Settlement Amount: \$14,000.00
Individual Contribution Amount: \$0.00
Firm Statement FA DENIES ALL ALLEGATIONS OF WRONGDOING. SETTLEMENT MADE TO AVOID FURTHER EXPENSES AND COSTS OF LITIGATION.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO., INC.
Allegations: CLAIMANTS ALLEGE, INTER ALIA, THAT FROM JAN 99 TO JAN 09 THE FA INVESTED THE CLIENTS IRA IN UNSUITABLE MUTUAL FUNDS.
Product Type: Other: IRA, MUTUAL FUND
Alleged Damages: \$100,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 10-01345
Filing date of arbitration/CFTC reparation or civil litigation: 03/15/2010

Customer Complaint Information

Date Complaint Received: 04/01/2010
Complaint Pending? No
Status: Settled
Status Date: 02/02/2011
Settlement Amount: \$14,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.
Allegations: CUSTOMER CLAIMS THAT DURING 2005, FINANCIAL ADVISOR ALLEGEDLY CHURNED THE ACCOUNT, RESULTING IN EXCESSIVE COMMISSIONS.



Product Type: Mutual Fund(s)
Other Product Type(s): EQUITIES; BONDS
Alleged Damages: \$7,500.00

Customer Complaint Information

Date Complaint Received: 02/21/2006
Complaint Pending? No
Status: Withdrawn
Status Date: 03/21/2006
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00



End of Report

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