



## IAPD Report

# Timothy Keith Kadlec

CRD# 3127749

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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

### Timothy Keith Kadlec (CRD# 3127749)

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 **02/06/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	05/01/2018
<b>IA</b>	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	05/01/2018
<b>IA</b>	CS PLANNING CORP	CRD# 149937	03/20/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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>B</b>	VOYA FINANCIAL ADVISORS, INC.	2882	SPOKANE, WA	01/03/2011 - 04/30/2018
<b>IA</b>	VOYA FINANCIAL ADVISORS, INC.	2882	SPOKANE, WA	01/03/2011 - 04/30/2018
<b>IA</b>	ING FINANCIAL ADVISERS, LLC	34815	PORTLAND, OR	03/16/2005 - 01/03/2011

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?

**No**



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

### Employment 1 of 2

Firm Name: **PLANMEMBER SECURITIES CORPORATION**

Main Address: 6187 CARPINTERIA AVENUE  
CARPINTERIA, CA 93013

Firm ID#: 11869

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	05/01/2018
	FINRA	General Securities Representative	Approved	05/01/2018
	FINRA	Invest. Co and Variable Contracts	Approved	05/01/2018
	Arizona	Agent	Approved	05/01/2018
	California	Agent	Approved	05/01/2018
	Colorado	Agent	Approved	11/13/2023
	Hawaii	Agent	Approved	02/06/2025
	Idaho	Agent	Approved	05/01/2018
	Montana	Agent	Approved	12/05/2019
	North Dakota	Agent	Approved	05/01/2018
	Oregon	Agent	Approved	05/01/2018
	Tennessee	Agent	Approved	09/09/2019
	Texas	Agent	Approved	02/06/2025



## Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	02/06/2025
B Washington	Agent	Approved	05/01/2018
IA Washington	Investment Adviser Representative	Approved	05/01/2018

## Branch Office Locations

### PLANMEMBER SECURITIES CORPORATION

1212 N. Washington St., Suite 116  
Spokane, WA 99201

## Employment 2 of 2

Firm Name: **CS PLANNING CORP**  
Main Address: 3395 SW GARDEN VIEW AVE  
PORTLAND, OR 97225  
Firm ID#: 149937

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/29/2024
IA Washington	Investment Adviser Representative	Approved	03/20/2023

## Branch Office Locations

### CS PLANNING CORP

1212 N. Washington Street, Suite 116  
Spokane, WA 99201



## 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
<b>B</b>	General Securities Principal Examination (S24)	Series 24	08/05/2004

#### General Industry/Product Exams

	Exam	Category	Date
<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b>	General Securities Representative Examination (S7)	Series 7	06/23/2004
<b>B</b>	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/04/1998

#### State Securities Law Exams

	Exam	Category	Date
<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	10/25/2004
<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	04/10/1999



### 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	01/03/2011 - 04/30/2018	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	SPOKANE, WA
IA	01/03/2011 - 04/30/2018	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	SPOKANE, WA
IA	03/16/2005 - 01/03/2011	ING FINANCIAL ADVISERS, LLC	CRD# 34815	PORTLAND, OR
B	07/26/2004 - 01/03/2011	ING FINANCIAL ADVISERS, LLC	CRD# 34815	PORTLAND, OR
B	06/06/2002 - 07/26/2004	ING AMERICA EQUITIES, INC.	CRD# 36259	WEST CHESTER, PA
B	10/14/1998 - 06/03/2002	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT

### 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
03/2023 - Present	CS Planning Corp.	Investment Advisor Representative	Y	Portland, CA, United States
02/2019 - Present	Financial Alternatives of Spokane, LLC	Owner	Y	Spokane, WA, United States
05/2018 - Present	Financial Alternatives, LLC	Financial Advisor/Insurance Agent	Y	Spokane, WA, United States
05/2018 - Present	PlanMember Securities Corporation	Investment Advisor Representative/Registered Representative	Y	Carpinteria, CA, United States
03/2014 - Present	Tim Kadlec (self employed)	Insurance Agent	Y	Spokane, WA, United States
09/2014 - 04/2018	VOYA FINANCIAL ADVISORS	Investment Advisor Representative/Registered Representative	Y	SPOKANE, WA, United States



## Registration & Employment History



### 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) Tim Kadlec (self-employed, 1212 N. Washington St., Suite 116, Spokane, WA 99201; Investment related; Insurance (?xed) sales & services; Agent; Start date 3/2014; 10 hrs/mnth & during trading.
- 2) Financial Alternatives of Spokane, LLC; 1212 N. Washington St., Suite 116, Spokane WA 99201; Owner; LLC for banking/corporate structure; start date 2/26/2019; 1 hr/mo; 1 hr/mo during trading; NIR
- 3) Financial Alternatives, LLC- 1212 N. Washington St., Suite 116, Spokane, WA 99201; Investment related; Investment & insurance sales & services; Agent; Start date 5/2018; 150 hrs/mnth & during trading.
- 4) PlanMember Securities Corporation - 1212 N. Washington St., Suite 116, Spokane, WA 99201; Investment related; registered as an Investment Advisor Representative and Registered Representative, Start date 5/2018; 20 hrs/mnth & during trading.
- 5) CS Planning Corp DBA Financial Alternatives; 1212 N. Washington St., Suite 116, Spokane, WA 99201; Start Date 03/2023; Investment Advisor Representative (IAR); Provide investment/retirement planning and advisory products as an IAR through CS Planning; 80 hrs/mo; 80 hrs/mo during trading. IR





## End of Report

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