



IAPD Report

KEAN LYNN BOUPLON

CRD# 4034661

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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

KEAN LYNN BOUPLON (CRD# 4034661)

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 **12/01/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GOOD CAPITAL	CRD# 324262	02/12/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	STRATEGY ONE WEALTH MANAGEMENT LLC	288317	TROY, NY	04/22/2019 - 12/26/2020
B	MORGAN STANLEY	149777	ALBANY, NY	03/28/2014 - 05/03/2017
IA	MORGAN STANLEY	149777	ALBANY, NY	03/28/2014 - 05/03/2017

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
Financial	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GOOD CAPITAL**
Main Address: VOORHEESVILLE, NY
Firm ID#: 324262

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	02/12/2024

Branch Office Locations

GOOD CAPITAL
VOORHEESVILLE, NY



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	05/03/2017
General Securities Representative Examination (S7)	Series 7	11/01/2010
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/25/1999

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	04/10/2023
Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/1999

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
IA	04/22/2019 - 12/26/2020	STRATEGY ONE WEALTH MANAGEMENT LLC	CRD# 288317	TROY, NY
B	03/28/2014 - 05/03/2017	MORGAN STANLEY	CRD# 149777	ALBANY, NY
IA	03/28/2014 - 05/03/2017	MORGAN STANLEY	CRD# 149777	ALBANY, NY
IA	03/17/2011 - 04/01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALBANY, NY
B	01/21/2011 - 04/01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALBANY, NY
B	05/30/2003 - 01/31/2011	HRC INVESTMENT SERVICES, INC.	CRD# 31741	ALBANY, NY
B	10/26/1999 - 05/29/2003	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

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
03/2019 - Present	Build Upon The Good	Self-Employed	N	Voorheesville, NY, United States
03/2019 - 11/2020	Strategy One Wealth Management, LLC	Investment Adviser Representative	Y	Troy, NY, United States
11/2018 - 02/2019	Unemployed	NA	N	Albany, NY, United States
11/2017 - 10/2018	Carrow Real Estate Services LLC	VP of Business Development	N	Albany, NY, United States
05/2017 - 10/2017	unemployed	NA	N	Albany, NY, United States
01/2015 - 05/2017	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
03/2014 - 05/2017	MORGAN STANLEY	Family Wealth Advisor	Y	ALBANY, NY, 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.

BOUPLON ACRES, LLC; 144 WAITES HILL RD, WHITE CREEK, NY 12057; 1/3 OWNER (SPLIT EQUALLY BETWEEN MYSELF, MY BROTHER AND MY SISTER; START DATE: 06/2013; 4 HOURS DEVOTED OUTSIDE TRADING HOURS; 0 HOURS DURING TRADING HOURS; 4TH GENERATION FAMILY OWNED FARM LAND CONSISTING OF APPROXIMATELY 100 ACRES;**



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
Financial	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: Suspension

Date Initiated: 01/04/2018

Docket/Case Number: [17-01758](#)

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

Product Type: No Product

Allegations: Respondent Bouplon failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Respondent Bouplon sent an email to the Office of Hearing Officers asking to withdraw his hearing request. Respondent avers he is doing so because of limited time and out of respect for FINRA. The effect of withdrawal will be that the Notice of Suspension issued to Respondent under FINRA Rule 9554 ("Notice") will be deemed the final FINRA action in this matter.

Current Status: Final

Resolution: letter



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:

02/14/2018

Sanctions Ordered:

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:	n/a
Start Date:	01/25/2018
End Date:	10/23/2018

Regulator Statement

Department of Regulatory Operations consents to the withdrawal. Accordingly, for good cause shown, Respondent is allowed to withdraw his hearing request. The hearing scheduled for February 23, 2018, is cancelled. The Notice shall be deemed FINRA's final action effective as of January 25, 2018. Therefore, pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Bouplon is suspended on January 25, 2018, for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Associated case # FINRA Case #20180571196/ARB180003

Regulatory Operations is in receipt of Bouplon's September 1, 2018 request to terminate his suspension pursuant to FINRA Rule 9554(g) in the matter (the request). For the reasons stated below, Regulatory Operations grants the request. According to the request, Bouplon filed a Chapter 13 bankruptcy petition in April 2018. The request further states that the court confirmed a repayment plan in July 2018, and Bouplon is in good standing under the approved repayment plan. Regulatory Operations has verified that the court confirmed a repayment plan pursuant to the Chapter 13 bankruptcy petition Bouplon filed in the U.S. Bankruptcy Court for the Northern District of New York under Case Number 18-10660-1, and noted that the Award was listed as a debt therein. Suspension lifted on October 23, 2018.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension



Date Initiated:	01/04/2018
Docket/Case Number:	17-01758
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY
Product Type:	No Product
Allegations:	<p>Respondent Bouplon failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.</p> <p>Respondent Bouplon sent an email to the Office of Hearing Officers asking to withdraw his hearing request. Respondent avers he is doing so because of limited time and out of respect for FINRA. The effect of withdrawal will be that the Notice of Suspension issued to Respondent under FINRA Rule 9554 ("Notice") will be deemed the final FINRA action in this matter.</p>
Current Status:	Final
Resolution:	Letter
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:	02/14/2018
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	n/a
Start Date:	01/25/2018
End Date:	10/23/2018
Broker Statement	<p>I resigned from Morgan Stanley prior to fulfilling my recruitment deal. Morgan Stanley requested that FINRA suspend my securities licenses for failure to repay a portion of the upfront recruitment bonus (promissory note). I was unable to satisfy their demand quickly and FINRA granted their request. My license was suspended from January 2018 until October 2018, when I was re-instated after agreeing to repayment terms with Morgan Stanley.</p>



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	04/16/2018
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US BANKRUPTCY COURT - NORTHERN DISTRICT OF NY
Location of Court:	ALBANY, NY
Docket/Case #:	18-10660
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	04/16/2018
Amount Paid:	
SIPA (Securities Investor Protection Act)Trustee:	ANDREA E. CELLI
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	04/16/2018

Broker Statement

Due to my liability regarding my recruitment bonus deal with Morgan Stanley, after consulting with an attorney, I agreed to file for Chapter 13 bankruptcy protection to provide assets and work out a repayment deal with Morgan Stanley and creditors. It was approved and I'm currently in good standing and making agreed upon payments. I am under no restrictions.



End of Report

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