



IAPD Report

Kerwyn Neil Escayg

CRD# 4067573

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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

Kerwyn Neil Escayg (CRD# 4067573)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	PRUCO SECURITIES, LLC.	5685	HOUSTON, TX	02/24/2023 - 11/14/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	HOUSTON, TX	01/20/2023 - 11/14/2024
IA	KNJ WEALTH MANAGEMENT GROUP, LLC	320939	HOUSTON, TX	04/27/2022 - 07/18/2022

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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/14/2024
B California	Agent	Approved	11/14/2024
B Colorado	Agent	Approved	01/08/2025
B Florida	Agent	Approved	11/18/2024
B Louisiana	Agent	Approved	10/27/2025
B New York	Agent	Approved	10/26/2025
B Texas	Agent	Approved	11/14/2024
IA Texas	Investment Adviser Representative	Approved	11/14/2024

Branch Office Locations

LPL ENTERPRISE, LLC
1233 WEST LOOP SOUTH
SUITE 1100
HOUSTON, TX 77027

LPL ENTERPRISE, LLC
24 WATERWAY AVENUE
SUITE 650
THE WOODLANDS, TX 77380



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 3 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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B Securities Industry Essentials Examination (SIE)	SIE	12/16/2022
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B General Securities Representative Examination (S7)	Series 7	03/28/2000
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	03/25/2023
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/06/2002
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/2000
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	02/24/2023 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	HOUSTON, TX
IA	01/20/2023 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	HOUSTON, TX
IA	04/27/2022 - 07/18/2022	KNJ WEALTH MANAGEMENT GROUP, LLC	CRD# 320939	HOUSTON, TX
IA	04/19/2000 - 01/19/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WEBSTER, TX
B	03/29/2000 - 01/19/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WEBSTER, TX
B	03/29/2000 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	HOUSTON, TX, United States
04/2023 - Present	The Prudential Insurance Company Of America	Financial Professional	Y	Houston, TX, United States
03/2022 - Present	Knj Wealth Management Group, Llc	Managing Member And Chief Compliance Officer	Y	Houston, TX, United States
10/2022 - 11/2024	Pruco Securities Llc	Registered Representative	Y	Houston, TX, United States
11/2021 - 03/2022	Retired/Unemployed	N/A	N	Houston, TX, United States
03/2021 - 10/2021	Thais Piotrowski & Assoc	Cfo	N	Boca Raton, FL, United States
01/2018 - 02/2021	N/A	Unemployed/Retired	N	Houston, TX, United States
03/2012 - 01/2018	Escayg & Associates - Ameriprise Franchise Advisor	Ceo	Y	Houston, TX, United States
04/2000 - 01/2018	Ameriprise Financial Services, Inc.	Investment Adviser Representative	Y	Webster, TX, 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) 08/21/2024 - KNJ Wealth Management Group LLC - I market my LPL business under this name - DBA for LPL Business (entity for LPL business) - Inv Related - At Houston, TX - Start Date 03/25/2022 - 0hrs/mth - 0hrs/mth 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
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:	Other: N/A
Date Initiated:	11/19/2013
Docket/Case Number:	2010021555801
Employing firm when activity occurred which led to the regulatory action:	IDS LIFE INSURANCE COMPANY (NOW KNOWN AS AMERIPRISE FINANCIAL SERVICES, INC.)
Product Type:	Other: EQUITY FUNDS AND GOVERNMENT BOND FUNDS
Allegations:	FINRA RULE 2010, NASD RULE 2510(B): ESCAYG EXERCISED DISCRETION IN CUSTOMERS' ACCOUNTS, A JOINT ACCOUNT AND TWO INDIVIDUAL IRA ACCOUNTS, WITHOUT WRITTEN AUTHORIZATION AND ACCEPTANCE OF THE CUSTOMERS' ACCOUNTS AS DISCRETIONARY BY HIS MEMBER FIRM. ESCAYG USED DISCRETION TO EXECUTE TRANSACTIONS IN THE CUSTOMERS' ACCOUNTS TO ESSENTIALLY MOVE A PORTION OF THEIR EQUITY POSITIONS INTO GOVERNMENT BOND FUNDS, OR TO ESSENTIALLY MOVE BACK INTO EQUITIES BY SELLING BOND FUNDS AND PURCHASING EQUITY MUTUAL FUNDS FOR THE CUSTOMERS' ACCOUNTS. THE PARTICULAR ACCOUNTS MAINTAINED BY THE FIRM FOR THE CUSTOMERS, WHICH ARE ASSET-BASED FEE ACCOUNTS, WERE NOT MANAGED ACCOUNTS. ALTHOUGH, THE FIRM OFFERS MANAGED ACCOUNTS SIMILAR TO THE CUSTOMERS' ACCOUNTS WHERE DISCRETION IS APPROVED, THE CUSTOMERS' ACCOUNTS WERE NOT APPROVED FOR DISCRETIONARY TRADING AND ESCAYG DID NOT HAVE WRITTEN AUTHORIZATION TO EXERCISE DISCRETION IN THE CUSTOMERS'



ACCOUNTS.

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:

11/19/2013

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:	10 BUSINESS DAYS
Start Date:	12/16/2013
End Date:	12/30/2013

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:	12/06/2013
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, ESCAYG CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ALL CAPACITIES FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM DECEMBER 16, 2013, THROUGH DECEMBER 30, 2013. FINE PAID IN FULL ON DECEMBER 6, 2013.
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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/19/2013



Docket/Case Number: [2010021555801](#)

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES INC.

Product Type: Other: MANAGED ACCOUNTS

Allegations: ALLEGED USE OF DISCRETION IN HUSBAND'S AND WIFE'S ACCOUNTS ON MARCH 3, 2009 AND APRIL 2, 2009.

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: 11/19/2013

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 10 BUSINESS DAYS

Start Date: 12/16/2013

End Date: 12/30/2013

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:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement THE TRADES AT ISSUE WERE EXECUTED AS A RESULT OF COMMENTS AND/OR PRIOR INSTRUCTIONS FROM THE TWO CUSTOMERS AT ISSUE DESPITE NOT BEING CONFIRMED IMMEDIATELY PRIOR TO EXECUTION.



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: AMERIPRISE FINANCIAL SERVICES INC.

Allegations: THE CLIENTS ALLEGED THE ADVISOR DID NOT ADJUST THEIR PORTFOLIO IN SUMMER OF 2008 TO BETTER POSITION THEM FOR THE DETERIORATING MARKET. THEY HAVE REQUESTED \$500,000 IN COMPENSATION FOR MARKET LOSSES.

Product Type: Mutual Fund

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/05/2009

Complaint Pending? No

Status: Settled

Status Date: 01/27/2010

Settlement Amount: \$108,113.73

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM WAS UNABLE TO SUBSTANTIATE THE CLIENTS AUTHORIZED TRADES THAT OCCURRED IN MARCH 2009. THE FIRM REIMBURSED THE CLIENTS FOR LOSSES ASSOCIATED WITH THE TRADES.



End of Report

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