IAPD Report

CHAD EVAN POLIN

CRD# 4233680

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

CHAD EVAN POLIN (CRD# 4233680)

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 **07/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	04/02/2026
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	06/03/2026

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **2** 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	TRUIST ADVISORY SERVICES, INC.	283390	JENKINTOWN, PA	02/17/2021 - 04/01/2026
B	TRUIST INVESTMENT SERVICES, INC.	17499	JENKINTOWN, PA	02/17/2021 - 04/01/2026
B	BB&T SECURITIES, LLC	142785	RICHMOND, VA	01/02/2018 - 02/17/2021

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
Criminal	1
Customer Dispute	2
Termination	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 **2** jurisdiction(s) and 4 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
B	FINRA	General Securities Representative	Approved	06/03/2026
B	NYSE American LLC	General Securities Representative	Approved	06/03/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	06/03/2026
B	New York Stock Exchange	General Securities Representative	Approved	06/03/2026
B	New Jersey	Agent	Approved	07/06/2026
B	Pennsylvania	Agent	Approved	06/08/2026

Branch Office Locations

FORT WASHINGTON, PA

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
IA	Pennsylvania	Investment Adviser Representative	Approved	04/02/2026

Qualifications

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
FORT WASHINGTON, PA

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	08/16/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/17/2021 - 04/01/2026	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	JENKINTOWN, PA
B	02/17/2021 - 04/01/2026	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	JENKINTOWN, PA
B	01/02/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	01/02/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	06/05/2017 - 01/02/2018	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	WEST CHESTER, PA
IA	06/05/2017 - 01/02/2018	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	WEST CHESTER, PA
B	09/21/2016 - 06/19/2017	KEY INVESTMENT SERVICES LLC	CRD# 136300	MAPLE GLEN, PA
IA	09/21/2016 - 06/19/2017	KEY INVESTMENT SERVICES LLC	CRD# 136300	MAPLE GLEN, PA
B	05/04/2010 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	HARLEYSVILLE, PA
IA	05/04/2010 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	HARLEYSVILLE, PA
B	10/14/2005 - 05/05/2010	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	SPRING HOUSE, PA
IA	10/14/2005 - 05/05/2010	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	SPRING HOUSE, PA
B	08/03/2005 - 10/14/2005	ICBA FINANCIAL SERVICES CORPORATION	CRD# 35089	MEMPHIS, TN
IA	08/03/2005 - 10/14/2005	ICBA FINANCIAL SERVICES CORPORATION	CRD# 35089	SPRING HOUSE, PA
B	10/20/2004 - 08/09/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	10/20/2004 - 08/09/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	HUNTINGDON VALLEY,

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	11/06/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
IA	11/06/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	HUNTINGDON VALLEY,
IA	09/05/2002 - 10/15/2002	QUICK & REILLY, INC.	CRD# 11217	PHILADELPHIA, PA
B	04/25/2001 - 10/15/2002	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	09/12/2000 - 04/25/2001	SUMMIT FINANCIAL SERVICES GROUP, INC.	CRD# 7246	BETHLEHEM, PA

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
05/2026 - Present	KINGSWOOD CAPITAL PARTNERS	REGISTERED REPRESENTATIVE	Y	FORT WASHINGTON, PA, United States
04/2026 - Present	KINGSWOOD WEALTH ADVISORS	INVESTMENT ADVISOR	Y	FORT WASHINGTON, PA, United States
02/2021 - 04/2026	TRUIST ADVISORY SERVICES, INC.	Investment Counselor	Y	ATLANTA, GA, United States
02/2021 - 04/2026	TRUIST INVESTMENT SERVICES, INC.	Investment Counselor	Y	FORT WASHINGTON, PA, United States
01/2018 - 02/2021	BB&T SECURITIES, LLC	Investment Counselor	Y	HUNTINGDON VALLEY, PA, United States
06/2017 - 01/2018	BB&T Investment Services, Inc.	Investment Counselor	Y	Allentown, PA, United States
09/2016 - 06/2017	KEY INVESTMENT SERVICES LLC	Mass Transfer	Y	MAPLE GLEN, PA, 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. Name of Business: BACKGROUND MANAGER -
POSITION: President NATURE: Partner INVESTMENT RELATED: No NUMBER OF HOURS: 2; SECURITIES TRADING HOURS: 0 START DATE: 05/01/2015
ADDRESS: 1395 Pinetown Rd. Fort Washington, PA 19034 United States; DESCRIPTION: recordkeeping for volunteer organizations

2. OBA Rental Properties - Chad Polin,Is Not Investment Related,"1395 Pintetown Rd, , Fort Washington, PA, 19034, United States",Rental Property,Owner,1/1/2020,1 hours per month,0 hours per month during trading hours,Fee Based Compensation,Landlord for 2 residential properties
Name of Business: PATPOLL LLC / Chad Polin
Address: 1395 Pinetown Rd. Fort, PA 19034
Position: Owner
Nature: Rental - LANDLORD
Start Date: 2020
Investment Related: No
Number of Hours: 1
Securities Trading Hours: 0
Description: LLC landlord of 2 residential properties

CHAD POLIN - RENTAL PROPERTIES
POSITION: Landlord NATURE: Landlord, purchasing an investment property. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0
START DATE: 2020
ADDRESS: Ambler & Glenside PA, United States
DESCRIPTION: Collect rent, manage residential property, Landlord

LASALLE HIGH SCHOOL
POSITION: Assistant coach NATURE: Assistant football coach INVESTMENT RELATED: No NUMBER OF HOURS: 10; SECURITIES TRADING HOURS: 0
START DATE: 06/11/2024
ADDRESS: Wyndmoor PA, United States
DESCRIPTION: Coach freshmen football.

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
Criminal	1
Customer Dispute	2
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	BUCKS COUNTY COURTHOUSE DOYLESTOWN PA CASE NUMBER: 1987-3558
Charge Date:	03/05/1987
Charge Details:	1 MISDEMEANOR - PLED NO CONTEST TO USING A FAKE ID TO MISREPRESENT MY AGE TO ENTER A BAR 1 MISDEMEANOR - PLED NO CONTEST TO TRYING TO SECURE LIQUOR AS A MINOR.
Felony?	No
Current Status:	Final
Status Date:	09/08/1988
Disposition Details:	PRE TRIAL SENTENCE OF 6 MONTHS ARD PROBATION TO 1 MISDEMEANOR AND 1 SUMMARY OFFENSE. COURT COSTS (APPROXIMATELY $150) WERE PAID PROMPTLY AND PROBATION WAS COMPLETED.
Broker Statement	ON 2/27/1987, AS A 19 YEAR OLD, I ATTEMTPED TO USE AN ALTERED DRIVERS LICENSE TO ENTER A BAR. THE BAR MANAGER CONFISCATED MY LICENSE AND THE POLICE CHARGED ME WITH THESE 2 OFFENSES. MY PROBATION WAS SUCCESSFULLY COMPLETED ON 9/8/1987.

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:	PrimeVest Financial Services
Allegations:	Unsuitability of beneficiaries lifetime payout option
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Unable to determine a damages amount of what would be received over the 2 beneficiaries lifetimes vs. what an immediate payout would be.
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:	09/10/2015
Complaint Pending?	No
Status:	Denied
Status Date:	10/06/2015
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRIMEVEST FINANCIAL SERVICES
Allegations:	UNSUITABILITY OF BENEFICIARIES LIFETIME PAYOUT OPTION.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	UNABLE TO DETERMINE A DAMAGES AMOUNT OF WHAT WOULD BE RECEIVED OVER THE 2 BENEFICIARIES LIFETIMES VS. WHAT AN IMMEDIATE PAYOUT WOULD BE.
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:	09/10/2015
Complaint Pending?	No
Status:	Denied
Status Date:	10/06/2015
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRIMEVEST FINANCIAL SERVICES
Allegations:	ALLEGATION OF UNSUITABILITY
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$15,404.80

Customer Complaint Information

Date Complaint Received:	04/23/2009
Complaint Pending?	No
Status:	Denied
Status Date:	05/05/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	RESEARCH FOUND INVESTMENT PURCHASED 08/09/07 SUITABLE FOR FINANCIAL OBJECTIVES AND TIME HORIZON.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	TRUIST INVESTMENT SERVICES, INC.
Termination Type:	Voluntary Resignation
Termination Date:	04/01/2026
Allegations:	Allegations of affecting transactions in account without authorization.
Product Type:	Debt-Corporate Debt-Government

Reporting Source:	Individual
Firm Name:	TRUIST INVESTMENT SERVICES, INC.
Termination Type:	Voluntary Resignation
Termination Date:	04/01/2026
Allegations:	Allegations of affecting transactions in account without authorization.
Product Type:	Debt-Corporate Debt-Government

End of Report

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