IAPD Report

MICAH KENNETH KEEL

CRD# 4270312

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MICAH KENNETH KEEL (CRD# 4270312)

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 **07/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SOUND INCOME STRATEGIES, LLC	CRD# 173272	04/04/2023
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	04/10/2023

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
IA	KESTRA ADVISORY SERVICES, LLC	283330	Sarasota, FL	07/05/2019 - 04/06/2023
B	KESTRA INVESTMENT SERVICES, LLC	42046	Sarasota, FL	06/21/2019 - 04/06/2023
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	SARASOTA, FL	09/04/2013 - 06/24/2019

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	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 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**
Main Address: 80 STATE STREET
ALBANY, NY 12207
Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/10/2023
B	FINRA	General Securities Representative	Approved	04/10/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	04/10/2023
B	Florida	Agent	Approved	04/10/2023
B	Georgia	Agent	Approved	04/10/2023
B	Louisiana	Agent	Approved	04/10/2023
B	Maryland	Agent	Approved	07/25/2025
B	Mississippi	Agent	Approved	04/10/2023
B	Texas	Agent	Approved	04/10/2023

Branch Office Locations

80 STATE STREET
ALBANY, NY 12207

401 Cattlemen Road
Suite 306
Sarasota, FL 34236

Employment 2 of 2

Firm Name: **SOUND INCOME STRATEGIES, LLC**
Main Address: 500 W CYPRESS CREEK ROAD

Qualifications

SUITE 290
FORT LAUDERDALE, FL 33309

Firm ID#: 173272

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/04/2023

Branch Office Locations

SOUND INCOME STRATEGIES, LLC
9160 Forum Corporate Parkway
Suite 350
Fort Myers, FL 33905

SOUND INCOME STRATEGIES, LLC
401 Cattlemen Road
Suite 306
Sarasota, FL 34232

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/11/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	06/13/2014
B	General Securities Representative Examination (S7)	Series 7	10/13/2003
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/30/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/2000

PROFESSIONAL DESIGNATIONS

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

No information reported.

User Guidance

www.adviserinfo.sec.gov

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	07/05/2019 - 04/06/2023	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	Sarasota, FL
B	06/21/2019 - 04/06/2023	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	Sarasota, FL
IA	09/04/2013 - 06/24/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SARASOTA, FL
B	08/26/2013 - 06/24/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SARASOTA, FL
IA	05/21/2012 - 08/30/2013	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SARASOTA, FL
B	06/25/2003 - 08/27/2013	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SARASOTA, FL
IA	05/04/2005 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SARASOTA, FL
B	10/31/2000 - 07/21/2003	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE

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
04/2024 - Present	Retirement Income Source of SW Florida	Owner/Insurance Agent	Y	Fort Myers, FL, United States
04/2023 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
03/2023 - Present	Retirement Income Source of Sarasota	Owner/Insurance Agent	Y	Sarasota, FL, United States
03/2023 - Present	Sound Income Strategies LLC	Investment Advisor Representative	Y	Fort Lauderdale, FL, United States
06/2019 - 03/2023	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, FL, United States
06/2019 - 03/2023	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SARASOTA, FL, United States
08/2013 - 06/2019	Ameriprise Financial Services, Inc.	Registered Rep	Y	Sarasota, FL, United States

 Report about MICAH KENNETH KEEL.

Registration & Employment History

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) PKS Securities - Investment related. At registered location. Brokerage services. Agent. Sales of Individual securities, mutual funds and variable annuities. Start date: 03/2023. This encompasses approximately 5% of business hours.
2) Retirement Income Source of Sarasota. Investment related. At registered location. Agent. Fixed / Life Insurance and Income Tax concierge services. Start 03/2023. This encompasses approximately 40% of business hours.
3) Retirement Income Source of SW Florida. Investment related. At registered location. Agent. Fixed / Life Insurance and Income Tax concierge services. Start 04/2024. This encompasses approximately 40% of business hours.
4) Health Markets. Non-Investment-related. At registered location. Sales of Health Insurance products. Agent. Start: 06/2019. This encompasses approximately 15% of business hours.
5) Pretty Farm Girl LLC. Not investment-related. Located at 14295 Mossy Oak Lane, Myakka City, FL 34251. Skincare Manufacturer. Co-Owner. Start: 2018. This does not encompass any business hours.
6) Retirement Income Source. Investment related. At registered location. Franchise Owner. Marketing to prospective clients for Investment Advisory and Fixed Insurance services. Start 03/2023. This encompasses 0 business hours.
7) Keel Property Group LLC. Investment related. 14295 Mossy Oak Lane, Myakka City, FL 34251. Real Estate Holding Company. Member. Start Date: 06/28/2024. 4 hrs/ month; none during trading hours. Overseeing the financial statis and implementing real estate transactions.

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	1

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:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC.
Allegations:	CLIENT ALLEGES CERTAIN REIT TRANSACTIONS WERE UNSUITABLE IN 2013.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES ALLEGED; CLIENT WANTS HER INVESTMENT MONEY RETURNED TO HER.
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:	05/14/2014
Complaint Pending?	No
Status:	Denied
Status Date:	06/05/2014
Settlement Amount:	

Individual Contribution Amount:	
Firm Statement	THIS CLIENT IS A HIGH NET WORTH CLIENT WITH EXTENSIVE INVESTMENT EXPERIENCE. IN MAY OF 2013, THE CLIENT'S GOAL WAS TO CONSOLIDATE A SERIES OF SMALL FRAGMENTED MUTUAL FUNDS INVESTMENTS. THE CLIENT FELT THE FUNDS WERE NOT PRODUCING SATISFACTORY GROWTH AND INCOME. THE CLIENT'S GOAL WAS TO DIVERSIFY INTO ALTERNATIVE ASSET CLASSES THAT THE CLIENT DID NOT ALREADY HOLD. THE CLIENT'S PORTFOLIO DID NOT CONTAIN ANY REIT EXPOSURE, SO WE REVIEWED SEVERAL NON- TRADED REIT OPTIONS AND THE CLIENT ELECTED TO INVEST IN TWO NON-TRADED REITS. AFTER SEVERAL MEETINGS WITH THE FINANCIAL ADVISOR IN JULY OF 2013 THE CLIENT INVESTED $50,000 IN A HEALTHCARE REIT AND $50,000 IN A RETAIL LEASE BACK REIT. AFTER RESEARCHING THE REIT INVESTMENT OPTIONS THE CLIENT FELT THAT INVESTING IN THESE TWO REIT SECTORS WOULD BE A GOOD LONG-TERM INVESTMENT. BECAUSE OF THE ILLIQUID NATURE OF THE NON-TRADED REITS, THE ADVISOR MADE SURE THAT THE ALLOCATION WAS LESS THAN 5% OF THE CLIENT'S LIQUID NET WORTH. IN A REVIEW MEETING CONDUCTED IN JANUARY 2014, THE CLIENT WAS QUITE PLEASED WITH THE TWO REIT INVESTMENTS. IN MARCH OF 2014, THE CLIENT HAD A CONVERSATION WITH A FRIEND WHO IS A RETIRED FINANCIAL ADVISOR. THE RETIRED FINANCIAL ADVISOR TOLD THE CLIENT THAT NON-TRADED REITS, IN HIS OPINION, ARE "HIGH RISK BAD INVESTMENTS". AT THIS POINT THE CLIENT HAS DECIDED THAT THE FINANCIAL ADVICE TO INVEST IN THESE 2 REIT'S WAS UNSUITABLE.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC.
Allegations:	CLIENT ALLEGES CERTAIN REIT TRANSACTIONS WERE UNSUITABLE IN 2013.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES ALLEGED; CLIENT WANTS HER INVESTMENT MONEY RETURNED TO HER.
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:	05/14/2014
Complaint Pending?	No
Status:	Denied

Status Date:	06/05/2014
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THIS CLIENT IS A HIGH NET WORTH CLIENT WITH EXTENSIVE INVESTMENT EXPERIENCE. IN MAY OF 2013, THE CLIENT'S GOAL WAS TO CONSOLIDATE A SERIES OF SMALL FRAGMENTED MUTUAL FUNDS INVESTMENTS. THE CLIENT FELT THE FUNDS WERE NOT PRODUCING SATISFACTORY GROWTH AND INCOME. THE CLIENT'S GOAL WAS TO DIVERSIFY INTO ALTERNATIVE ASSET CLASSES THAT THE CLIENT DID NOT ALREADY HOLD. THE CLIENT'S PORTFOLIO DID NOT CONTAIN ANY REIT EXPOSURE, SO WE REVIEWED SEVERAL NON- TRADED REIT OPTIONS AND THE CLIENT ELECTED TO INVEST IN TWO NON-TRADED REITS. AFTER SEVERAL MEETINGS WITH THE FINANCIAL ADVISOR IN JULY OF 2013 THE CLIENT INVESTED $50,000 IN A HEALTHCARE REIT AND $50,000 IN A RETAIL LEASE BACK REIT. AFTER RESEARCHING THE REIT INVESTMENT OPTIONS THE CLIENT FELT THAT INVESTING IN THESE TWO REIT SECTORS WOULD BE A GOOD LONG-TERM INVESTMENT. BECAUSE OF THE ILLIQUID NATURE OF THE NON-TRADED REITS, THE ADVISOR MADE SURE THAT THE ALLOCATION WAS LESS THAN 5% OF THE CLIENT'S LIQUID NET WORTH. IN A REVIEW MEETING CONDUCTED IN JANUARY 2014, THE CLIENT WAS QUITE PLEASED WITH THE TWO REIT INVESTMENTS. IN MARCH OF 2014, THE CLIENT HAD A CONVERSATION WITH A FRIEND WHO IS A RETIRED FINANCIAL ADVISOR. THE RETIRED FINANCIAL ADVISOR TOLD THE CLIENT THAT NON-TRADED REITS, IN HIS OPINION, ARE "HIGH RISK BAD INVESTMENTS". AT THIS POINT THE CLIENT HAS DECIDED THAT THE FINANCIAL ADVICE TO INVEST IN THESE 2 REITS WAS UNSUITABLE.

End of Report

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