



IAPD Report

KENNETH JURGEN WEISE

CRD# 4429434

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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

KENNETH JURGEN WEISE (CRD# 4429434)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	LPL FINANCIAL LLC	CRD# 6413	12/19/2012
	MARINER ADVISOR NETWORK	CRD# 283824	07/06/2016
	LPL FINANCIAL LLC	CRD# 6413	11/07/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
	LPL FINANCIAL LLC	6413	ROHNERT PARK, CA	12/20/2012 - 09/08/2016
	STRATEGIC WEALTH ADVISORS GROUP	140977	Rohnert Park, CA	04/08/2016 - 07/06/2016
	EDWARD JONES	250	ROHNERT PARK, CA	02/05/2007 - 12/20/2012

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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/19/2012
B	Arizona	Agent	Approved	01/28/2015
B	California	Agent	Approved	12/19/2012
IA	California	Investment Adviser Representative	Approved	11/07/2023
B	Florida	Agent	Approved	09/18/2018
B	Idaho	Agent	Approved	01/28/2015
B	Maine	Agent	Approved	04/02/2015
B	Michigan	Agent	Approved	02/23/2021
B	Nevada	Agent	Approved	01/28/2015
B	Oregon	Agent	Approved	09/17/2013
B	Wisconsin	Agent	Approved	11/29/2023
B	Wyoming	Agent	Approved	03/23/2021

Branch Office Locations



Qualifications

LPL FINANCIAL LLC
6020 COMMERCE BLVD STE 127
ROHNERT PARK, CA 94928-2179

LPL FINANCIAL LLC
884 THIRD ST STE A
SANTA ROSA, CA 95404-4567

Employment 2 of 2

Firm Name: **MARINER ADVISOR NETWORK**
Main Address: 5700 W 112TH STREET
SUITE 500
OVERLAND PARK, KS 66211
Firm ID#: 283824

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/06/2016

Branch Office Locations

MARINER ADVISOR NETWORK
6020 Commerce Blvd.
Suite 127
Rohnert Park, CA 94928

MARINER ADVISOR NETWORK
884 3rd Street
Suite A
Santa Rosa, CA 95404



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	09/17/2001
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/25/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/20/2001
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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	12/20/2012 - 09/08/2016	LPL FINANCIAL LLC	CRD# 6413	ROHNERT PARK, CA
IA	04/08/2016 - 07/06/2016	STRATEGIC WEALTH ADVISORS GROUP	CRD# 140977	Rohnert Park, CA
IA	02/05/2007 - 12/20/2012	EDWARD JONES	CRD# 250	ROHNERT PARK, CA
B	09/18/2001 - 12/20/2012	EDWARD JONES	CRD# 250	ROHNERT PARK, CA

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
05/2016 - Present	MARINER INDEPENDENT ADVISOR NETWORK, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SANTA ROSA, CA, United States
12/2014 - Present	SONOMA COUNTY WEALTH ADVISORS	PRESIDENT	Y	ROHNERT PARK, CA, United States
12/2012 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE AND INSURANCE AGENT	Y	ROHNERT PARK, CA, United States
12/2012 - Present	WEISE FINANCIAL SERVICES	OWNER	Y	ROHNERT PARK, CA, United States

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.

- 12/19/2012: Weise Financial Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
- 11/4/2014: Sonoma County Wealth Advisors - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/01/2015 - 250 Hours Per Month/100 During Securities Trading.
- 11/10/2021 - No Business Name - Investment Related - 884 3rd St, Santa Rosa, CA 95404 - Real Estate Rental - Start Date: 05/01/2016 - 2 Hours Per Month/0 Hours During Securities Trading.
- 08/02/2022 - Weise Family Trust - Investment Related - Santa Rosa CA 95401 - Real Estate Rental - Start Date - 05/02/2016 - 1 Hours Per Month/0 Hours During Securities Trading
- 06/03/2025 - Mariner Independent Advisor Network, LLC - Inv. Related - Registered Investment Advisor Hybrid - At Reported



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Business Location(s) - Start Date:08/02/2022 - 2 Hours Per Month/ 2 Hours During Securities Trading. I provide investment advisory services through Mariner Independent Advisor Network, LLC, an independent investment advisor firm. I started this business activity in 6/2025. I expect to spend approximately 2 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.



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: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 1/08-6/10; CLIENT CLAIMS WHEN SHE FIRST ESTABLISHED HER ACCOUNT IN 2004 A STRATEGY WAS SET UP TO DIVERSIFY THE ASSETS INTO FIVE DIFFERENT FUNDS FOR GROWTH AND INCOME. CLIENT CLAIMS FA STRESSED AT THE TIME IF THE ECONOMY SHOWED SIGNS OF WORSENING HE WOULD SWIFTLY MOVE ASSETS FROM EQUITY FUNDS INTO A SAFER HAVEN OF GOVERNMENT SECURITIES. CLIENT CLAIMS ALL WAS GOING WELL UNTIL THE MARKET BEGAN TO DECLINE IN JAN. 2008 AND FURTHER IN SEPT. 2008. CLIENT CLAIMS DURING THAT TIME THE ACCOUNT LOST VALUE STEADILY. CLIENT CLAIMS NO CHANGES WERE SUGGESTED AND WANTS TO KNOW WHY THE FA DID NOT FOLLOW HIS OWN FINANCIAL STRATEGY ESTABLISHED WHEN THE ACCOUNT WAS OPENED. CLIENT CLAIMS HE HAD NO CALLS FROM THE FA AND WHEN DID FINALLY SPEAK WITH FA IN EARLY NOVEMBER CLIENT WAS TOLD TO "JUST WAIT AND SEE". CLIENT CLAIMS FINALLY MADE CHANGES IN LATE NOVEMBER. CLIENT IS ALSO QUESTIONING THE ADVICE OF FA REGARDING GRANDDAUGHTER'S COLLEGE FUND. CLAIM EXCEEDS \$5,000

Product Type: Mutual Fund

Alleged Damages: \$72,041.65

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: 06/25/2010

Complaint Pending? No

Status: Denied

Status Date: 08/20/2010

Settlement Amount:

Individual Contribution
Amount:

Broker Statement

ACCT WAS ESTABLISHED AUG 2004. CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS REFLECTING PURCHASES AS WELL AS FUND PROSPECTUSES. IT IS MY UNDERSTANDING CLIENT'S INVESTMENT NEEDS, INVESTMENT OBJECTIVES AND RISK TOLERANCES WERE DISCUSSED. CLIENT WAS TAKING SUBSTANTIAL WITHDRAWALS AND CLIENT WAS CAUTIONED AS TO HOW THIS COULD AFFECT THE ACCOUNT. WHEN MARKET BECAME MORE VOLATILE IN 2008, IT WAS SUGGESTED CLIENT REMAIN INVESTED; HOWEVER, CLIENT INSTRUCTED FA TO EXCHANGE THE MUTUAL FUNDS. EXCHANGES WERE DONE AS REQUESTED & ACTIVITY WAS REFLECTED ON ACCT STATEMENTS & TRADE CONFIRMATIONS WOULD HAVE BEEN PROVIDED. CLIENT AGAIN EXCHANGED MUTUAL FUNDS IN JULY 2009 TO MOVE MORE ASSETS BACK INTO MARKET. WE UNDERSTAND CLIENT CONTINUED TO WATCH ACCOUNT CLOSELY & BEGAN TO ATTEMPT TO TIME CHANGES IN ACCT BY GIVING INSTRUCTIONS TO FA IN MORNING ONLY TO CANCEL INSTRUCTIONS IN AFTERNOON AS MARKET IMPROVED. FA STATED WAS AT NO TIME DISRESPECTFUL OR UNPROFESSIONAL. REGARDING 529 PLAN, OUR RECORDS REFLECT IT TOO WAS ESTABLISHED IN 2004 & INVESTED IN CAPITAL WORLD GROWTH & INC FD. THIS PARTICULAR FUND WAS ONE CLIENT LIKED & FELT VERY STRONGLY ABOUT. FUNDS WERE INVESTED AT TIME WITH A LONG-TERM APPROACH & CLIENT WAS AGAIN MADE AWARE OF RISKS. IT DOES APPEAR ACTIVITY IN ACCT WAS RESULT OF DISCUSSIONS WITH FA & ALL ACTIVITY WAS DONE WITH CLIENT'S AUTH. WHILE WE UNDERSTAND DISAPPOINTMENT WITH PERFORMANCE OF ACCT, RESULT OF MARKET VOLATILITY & WITHDRAWALS TAKEN FROM ACCT. EDWARD JONES DOES NOT ALLOW DISCRETION OF ANY TYPE IN A CLIENT'S ACCT. AS SUCH, FA WOULD NOT HAVE BEEN ABLE TO MAKE CHANGES IN ACCT WITHOUT SPEAKING WITH CLIENT & OBTAINING AUTHORIZATION. OUR INVESTIGATION DOES NOT REFLECT ANY GUARANTEES WERE PROVIDED TO CLIENT WITH REGARD TO PERFORMANCE OF ACCT & SHE WAS AWARE OF RISKS ASSOCIATED WITH INVESTMENTS TO INCLUDE THE 529 PLAN. CLAIM DENIED.



End of Report

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