User Guidance

www.adviserinfo.sec.gov

IAPD Report

KEVIN L FIFER

CRD# 4750052

Section Title — Page(s)

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

KEVIN L FIFER (CRD# 4750052)

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 **06/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAPITAL CITY SECURITIES, LLC	CRD# 146001	08/13/2008
IA	CAPITAL CITY ASSET MANAGEMENT GROUP, LLC	CRD# 134008	11/12/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	REGIS ASSET MANAGEMENT LLC	125872	Maumee, OH	01/26/2016 - 05/04/2018
IA	REGIS ASSET MANAGEMENT LLC	125872	WESTERVILLE, OH	08/29/2006 - 12/31/2015
B	REGIS SECURITIES CORPORATION	103711	MAUMEE, OH	03/15/2004 - 08/25/2008

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
Financial	1
Judgment/Lien	9

Report Summary

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

Employment 1 of 2

Firm Name: **CAPITAL CITY ASSET MANAGEMENT GROUP, LLC**
Main Address: 3789 ATTUCKS DR
POWELL, OH 43065
Firm ID#: 134008

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	11/12/2019

Branch Office Locations

CAPITAL CITY ASSET MANAGEMENT GROUP, LLC
Maumee, OH

Employment 2 of 2

Firm Name: **CAPITAL CITY SECURITIES, LLC**
Main Address: 3789 ATTUCKS DR
POWELL, OH 43065
Firm ID#: 146001

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/13/2008
B	Florida	Agent	Approved	09/16/2008
B	Michigan	Agent	Approved	08/13/2008
B	Ohio	Agent	Approved	08/13/2008

Branch Office Locations

MAUMEE, OH

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	03/13/2004

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/07/2004

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	01/26/2016 - 05/04/2018	REGIS ASSET MANAGEMENT LLC	CRD# 125872	Maumee, OH
IA	08/29/2006 - 12/31/2015	REGIS ASSET MANAGEMENT LLC	CRD# 125872	WESTERVILLE, OH
B	03/15/2004 - 08/25/2008	REGIS SECURITIES CORPORATION	CRD# 103711	MAUMEE, OH

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
05/2018 - Present	Capital City Asset Management Group, LLC	Investment Advisor Representative	Y	POWELL, OH, United States
08/2008 - Present	CAPITAL CITY SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, United States
08/2006 - 05/2018	Regis Asset Management, LLC	Adviser	Y	Maumee, OH, 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.

Self-Employed Health Insurance Agent 7147 Salisbury Rd MaumeeOH 43537. Industry related. Provide and service individual and business health insurance coverage. Started 2003. Approx 12 hours per month, roughly half during stock market trading hours.

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
Financial	1
Judgment/Lien	9

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:	Individual
Regulatory Action Initiated By:	Ohio Dept of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/12/2012
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	146001
Product Type:	No Product
Allegations:	Individual acted as a Third Party Administrator without being licensed.
Current Status:	Final
Resolution:	Consent
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:	07/12/2012

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
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:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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:	REGIS ASSET MANAGEMENT and Capiptal City Securities
Allegations:	Fifer opened a Capital City Securities account with customers in October of 2010 and applied a Regis Asset Management fee agreement at that time. Customer began to direct investments in the account July 2011. Fee agreement was suspended September of 2012. Clients account lost value in 2012-2014 and filed arbitration in 2015.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$32,312.41
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00301
Filing date of arbitration/CFTC reparation or civil litigation:	02/15/2015

Customer Complaint Information

Date Complaint Received:	02/15/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/21/2015
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00301

Date Notice/Process Served:	02/15/2015
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/21/2015
Monetary Compensation Amount:	$32,312.41
Individual Contribution Amount:	$10,770.80
Broker Statement	Representative allowed Client to direct investments in account, failed to update New Account Form, award was inconsistent(overstated)with damages, Arbitrator failed to offer explanation, and allow all testimony. All parties joint and several.

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:	04/30/2019
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	Northern Ohio
Location of Court:	Toledo Ohio
Docket/Case #:	2931365
Action Pending?	Yes
Amount Paid:	$467.00
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	
Date Direct Payment Initiated/Filed or Trustee Appointed:	
Broker Statement	This is caused by a predatory, seller assisted, second mortgage. A balloon payment was due and he won't negotiate.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	Unknown
Judgment/Lien Amount:	$4,496.00
Judgment/Lien Type:	Civil
Date Filed with Court:	09/16/1996
Date Individual Learned:	10/04/2016
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	CVF9611597
Judgment/Lien Outstanding?	Yes
Status Date:	10/24/2016
Resolution:	Satisfied
Broker Statement	Neither Individual nor Broker Dealer can verify this judgement through Clerk of Courts records or any available sources. Answers to questions regarding this judgement are implied through FINRA request for disclosure and cannot be represented by Broker Dealer as accurate or complete.

Disclosure 2 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	Carl B. Mockensturm
Judgment/Lien Amount:	$80,831.03
Judgment/Lien Type:	Civil
Date Filed with Court:	09/06/2011
Date Individual Learned:	09/06/2011
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201108548000
Judgment/Lien Outstanding?	Yes
Broker Statement	On 11/08/2016 Plaintiff Mockensturm filed suit in Lucas County Ohio, Case# G4801 CI 201605029000, to revoke a previous modification of this judgement. If plaintiff prevails in the case filed 11/08/2016, the disclosed judgement is unchanged. This was disclosed to BD 146001 by Fifer 4750052 on 11/11/2016.

Disclosure 3 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Ohio Dept of Taxation
Judgment/Lien Amount:	$2,024.44
Judgment/Lien Type:	Tax
Date Filed with Court:	08/28/2012
Date Individual Learned:	08/28/2012
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201209129000
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Ohio Dept of Taxation
Judgment/Lien Amount:	$927.15
Judgment/Lien Type:	Tax
Date Filed with Court:	04/09/2014
Date Individual Learned:	04/09/2014
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201403791000
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Ohio Dept of Taxation
Judgment/Lien Amount:	$3,107.18
Judgment/Lien Type:	Tax
Date Filed with Court:	05/05/2014
Date Individual Learned:	05/05/2014
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201404531000
Judgment/Lien Outstanding?	Yes

Disclosure 6 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Ohio Dept of Taxation
Judgment/Lien Amount:	$104.43
Judgment/Lien Type:	Tax
Date Filed with Court:	05/05/2014
Date Individual Learned:	05/05/2014
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201404532000
Judgment/Lien Outstanding?	Yes

Disclosure 7 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	William & Andrea Stalsworth
Judgment/Lien Amount:	$25,203.23
Judgment/Lien Type:	Civil
Date Filed with Court:	05/02/2013
Date Individual Learned:	05/03/2013
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201305706000
Judgment/Lien Outstanding?	Yes

Disclosure 8 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	Blanchard Strabler Funeral Home
Judgment/Lien Amount:	$4,170.30
Judgment/Lien Type:	Civil
Date Filed with Court:	10/22/2013
Date Individual Learned:	10/22/2013
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH

Docket/Case #:	G4801 LN 201311606000
Judgment/Lien Outstanding?	Yes

Disclosure 9 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	St Annes Mercy Hospital
Judgment/Lien Amount:	$4,918.94
Judgment/Lien Type:	Civil
Date Filed with Court:	11/23/2009
Date Individual Learned:	11/30/2012
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G-4801-LN-200913241-000
Judgment/Lien Outstanding?	Yes

End of Report

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