



IAPD Report

KERRY ALLEN WORDEN

CRD# 5071335

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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

KERRY ALLEN WORDEN (CRD# 5071335)

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 **05/04/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EQUITY ADVISORS, LLC	CRD# 300031	03/01/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
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No information reported.

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	2



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EQUITY ADVISORS, LLC**
Main Address: ZEPHER COVE, NV
Firm ID#: 300031

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/01/2022

Branch Office Locations

EQUITY ADVISORS, LLC
Sonora, CA



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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 IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/02/2020
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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:



No information reported.

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
02/2022 - Present	Equity Advisors, LLC	Investment Advisor Representative	Y	Hollister, CA, United States
01/2000 - Present	K.A. WORDEN. INC. DBA American Mortgage Management	OWNER/BROKER/PRESIDENT	N	COLUMBIA, 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.

KA Worden Inc DBA American Mortgage Management; Owner and President. 4695 Chabot Dr. #200, Pleasanton, CA 94588, mortgage brokerage, Start Date: 01/14/2000, Not Investment Related. 30-50 hours per week - 30-40 during trading hours.

C2 Financial Corporation, 10509 Vista Sorrento Pkwy #400, San Diego, CA 92121, Independent Contractor, CA Mortgage and Real Estate Brokerage, Started 02/07/2013, Not Investment Related. 30-50 hours per week - 30-40 during trading hours.

Tax Strategies Marketing, 9120 Double Diamond Parkway Reno, NV 89521, Tax Deferral Consultant, Started: Feb 24, 2022, Not Investment Related, 1 hour per month during 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
Criminal	2

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 2

Reporting Source:	Individual
Court Details:	SUPERIOR COURT OF CALIFORNIA, COUNTY OF EL DORADO, SOUTH LAKE TAHOE, CA., CASE# 70064
Charge Date:	11/07/1987
Charge Details:	CHARGE 1) OBSTRUCT/RESIST PUBLIC OFFICER (PC UNKNOWN), 1 COUNT, MISDEMEANOR, GUILTY CHARGE 2) FIGHT NOISE OFFENSIVE WORDS (PC 415) 1 COUNT, MISDEMEANOR, GUILTY
Felony?	No
Current Status:	Final
Status Date:	12/01/1987
Disposition Details:	CHARGES 1 AND 2) EITHER OF BOTH CHARGES OR CHARGES WERE DISMISSED. IN ANY CASE I ADMIT THAT I DID MAKE NOISE, FIGHT, AND RESIST A PUBLIC OFFICER. I DON'T KNOW THE DATE OF THE DISPOSITION, BUT BOTH CHARGES WOULD HAVE BEEN SETTLED IN LATE 1987 OR EARLY 1988. I DON'T REMEMBER PAYING ANY FINE OR PENALTY OR THE DATE PAID IF I DID.
Broker Statement	THESE CHARGES HAD NOTHING TO DO WITH ANY OF THE CRIMES SPECIFIED IN 14B. I ANSWERED YES TO THE QUESTION ONLY BECAUSE THE NASD REQUESTS DESCRIPTION OF THE OFFENSES DUE TO THE COURT NOT BEING ABLE TO PROVIDE ANY RECORDS. A BRIEF DESCRIPTION OF THE CIRCUMSTANCES LEADING TO THE CHARGES FOLLOWS: I WAS TRYING TO HELP A LADY INVOLVED IN AN ABUSIVE RELATIONSHIP, AND WAS INVOLVED IN AN ALTERCATION WITH HER COMMONLAW SPOUSE. I MOVED FROM LAKE TAHOE TO LOS ANGELES SHORTLY THEREFORE DUE TO THREATS ON MY LIFE FROM FRIENDS OF THE INDIVIDUAL. THE LAKE TAHOE COURT PAID FOR MY TRAVEL EXPENSES TO FLY TO LAKE TAHOE FROM LOS ANGELES TO TESTIFY AGAINST THE MAN. HE WAS BEING INDICTED ON OTHER FELONY CHARGES AND THIS CHARGE APPARENTLY BOLSTERED THEIR POSITION



IN A PLEA BARGAIN. IT WAS AN EMOTIONALLY CHARGED TIME AND I ENDED UP PARTICIPATING IN SORT OF A BAR-ROOM BRAWL WHILE THERE. IT WAS STUPID AND I TAKE FULL RESPONSIBILITY. I RESISTED THE ARRESTING OFFICER BECAUSE I DIDN'T WANT TO BE PUT IN JAIL WITH THE INDIVIDUAL I DIDN'T WANT TO BE PUT IN AJIL WITH THE INDIVIDUAL I WAS THERE TO TESTIFY AGAINST. IT WAS A STRANGE AND ACARY EPISODE. THIS MAN REALLY DIDN'T WANT ME TO TESTIFY. THEY DID TAKE ME TO JAIL AND I WAS RELEASED SEVERAL HOURS LATER. I TESTIFIED, FLEW HOME TO LOS ANGELES AND I DON'T REMEMBER HOW THE CASE WAS RESOLVED, BUT IT WA RESOLVED, AND ALMOST 20 YEARS AGO.

Disclosure 2 of 2

Reporting Source:

Individual

Court Details:

SUPERIOR COURT OF CALIFORNIA
COUNTY OF ALAMEDA
FREMONT HALL OF JUSTICE
CRIMINAL DIVISION
39439 PASEO PADRE PARKWAY
FREMONT, CA 94537-5113
510-795-2300
DOCKET #53702

Charge Date:

03/07/1980

Charge Details:

F11350HS, POSSESSION OF NARCOTIC, 1)1 COUNT, 2)FELONY, 3)INNOCENT.
F11377HS, POSSESSION OF PILLS, 1)1 COUNT, 2)FELONY, 3)INNOCENT.
M11550HS, UNDER INFLUENCE OF NARCOTIC, 1)1 COUNT, 2)MISDEMEANOR, 3)INNOCENT.

Felony?

Yes

Current Status:

Final

Status Date:

04/11/1980

Disposition Details:

F11350HS, A:CHARGE DISMISSED, B:04/11/1980, C:NONE
F11377HS, A:CHARGE DISMISSED, B:04/11/1980,C: NONE
M11550HS, A:CHARGE DISMISSED, B:04/11/1980,C: NONE

Broker Statement

AS THE FBI REPORT INDICATES 6 CHARGES WERE FILED BY THE ARRESTING OFFICERS ON THE NIGHT OF THE ARREST. SUPERIOR COURT RECORDS INDICATE ONLY 3 CHARGES WERE ACTUALLY FILED WITH THE COURT. ALL CHARGES WERE DISMISSED.



End of Report

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