



## IAPD Report

# Victor Ledoux

CRD# 5273399

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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

### Victor Ledoux (CRD# 5273399)

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 **01/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	UNITED ADVISOR GROUP	CRD# 324205	07/19/2023
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	07/25/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Franklin, TN	03/31/2021 - 07/26/2023
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Franklin, TN	03/31/2021 - 07/26/2023
IA	ON INVESTMENT MANAGEMENT CO	105662	Brentwood, TN	06/30/2017 - 03/31/2021

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?

**No**
















## 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 **12** 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
	FINRA	Direct Participation Programs	Approved	07/25/2023
	FINRA	General Securities Representative	Approved	07/25/2023
	FINRA	Invest. Co and Variable Contracts	Approved	07/25/2023
	Arizona	Agent	Approved	12/26/2024
	Arkansas	Agent	Approved	09/23/2025
	Colorado	Agent	Approved	08/09/2023
	Florida	Agent	Approved	07/25/2023
	Georgia	Agent	Approved	08/09/2023
	Indiana	Agent	Approved	07/02/2025
	Kentucky	Agent	Approved	07/25/2023
	Maine	Agent	Approved	07/25/2023
	Tennessee	Agent	Approved	07/25/2023
	Texas	Agent	Approved	07/25/2023



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	11/18/2025
<b>B</b> West Virginia	Agent	Approved	07/25/2023

## Branch Office Locations

302 Innovation Drive  
Suite 310  
Franklin, TN 37067

## Employment 2 of 2

Firm Name: **UNITED ADVISOR GROUP**  
Main Address: 8170 CORPORATE PARK DR.  
SUITE 300  
CINCINNATI, OH 45242  
Firm ID#: 324205

Regulator	Registration	Status	Date
<b>IA</b> Tennessee	Investment Adviser Representative	Approved	07/19/2023

## Branch Office Locations

**UNITED ADVISOR GROUP**  
302 Innovation Drive  
Suite 310  
Franklin, TN 37067



## 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, 4 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
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	04/26/2016
<b>B</b> Direct Participation Programs Representative Examination (S22)	Series 22	12/12/2012
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/24/2007

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	02/18/2011
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/2007



### 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	03/31/2021 - 07/26/2023	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Franklin, TN
B	03/31/2021 - 07/26/2023	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Franklin, TN
IA	06/30/2017 - 03/31/2021	ON INVESTMENT MANAGEMENT CO	CRD# 105662	Brentwood, TN
B	06/30/2017 - 03/31/2021	THE O.N. EQUITY SALES COMPANY	CRD# 2936	Brentwood, TN
IA	03/18/2011 - 07/05/2017	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	BRENTWOOD, TN
B	07/30/2010 - 07/05/2017	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	BRENTWOOD, TN
B	01/25/2007 - 08/03/2010	SIGNATOR INVESTORS, INC.	CRD# 468	NASHVILLE, TN

### 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
06/2023 - Present	United Advisor Group	Investment Adviser Representative	Y	Franklin, TN, United States
08/2010 - Present	United Advisor Group d/b/a Ascension Financial Partners	President	Y	Brentwood, TN, United States
04/2021 - 07/2023	Cambridge	IAR	Y	Fairfield, IA, United States
03/2021 - 07/2023	Cambridge Investment Research Advisors, Inc.	Investment Adviser Representative	Y	Fairfield, IA, United States
03/2021 - 07/2023	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
06/2017 - 04/2021	ONESCO	IAR	Y	Cincinnati, OH, United States
03/2017 - 04/2021	Ohio National Financial Services	Agent	N	Cincinnati, OH, United States
06/2017 - 03/2021	The O.N. Equity Sales Company	Registered Representative	Y	Cincinnati, OH, United States
09/2006 - 12/2017	SOUTHERN VENTURE GROUP	PRESIDENT	N	NASHVILLE, TN, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2010 - 06/2017	Woodbury	IAR	Y	St Paul, MN, United States
07/2010 - 06/2017	WOODBURY FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	BRENTWOOD, TN, 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.

1) ASCENSION FINANCIAL PARTNERS/ Yes/ 302 Innovation Drive, Suite 310, Franklin, TN 37067/DBA/ PRESIDENT/ 08/02/10/ INV REL, 30 HR/WK- 30/TRADING HR. 2)United Advisor Group d/b/a Ascension Financial Partners / Yes / 302 Innovation Drive, Suite 310, Franklin, TN 37067 / DBA / Managing Partner / 07.2010 / 40 hrsweek / 8 hrs. / mtgs relating to financial investment 3) Fixed insurance business / No / 302 Innovation Drive, Suite 310, Franklin, TN 37067/ fixed insurance / AgentSales / 11.2006 / 15 hrs / >1 hr / Insurance planning and management 4) PKS Financial / No / 302 Innovation Drive, Suite 310, Franklin, TN 37067/ fixed insurance /Agent / Sales / 11.2006 / 5 hrs / >1 hr / Insurance planning and management





## End of Report

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