



IAPD Report

KENNETH ANTHONY BLATTENBAUER JR

CRD# 5364643

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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 ANTHONY BLATTENBAUER JR (CRD# 5364643)

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 **06/30/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	CRD# 281593	01/05/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** 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
B	EMERSON EQUITY LLC	130032	Adison, TX	08/08/2016 - 06/07/2019
IA	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	281593	DALLAS, TX	11/18/2015 - 12/31/2017
IA	ADVANCED PRACTICE ADVISORS, LLC	154084	LA QUINTA, CA	05/23/2014 - 09/21/2015

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
Termination	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 **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KINGSTONE CAPITAL PARTNERS TEXAS, LLC**
Main Address: 6160 WARREN PARKWAY
SUITE 100
FRISCO, TX 75034
Firm ID#: 281593

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	01/31/2018
	Colorado	Investment Adviser Representative	Approved	04/28/2020
	Minnesota	Investment Adviser Representative	Approved	06/30/2023
	Texas	Investment Adviser Representative	Approved	01/05/2018
	Wisconsin	Investment Adviser Representative	Approved	07/06/2023

Branch Office Locations

KINGSTONE CAPITAL PARTNERS TEXAS, LLC
6160 WARREN PARKWAY
SUITE 100
FRISCO, TX 75034



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Direct Participation Programs Representative Examination (S22)	Series 22	07/11/2016
Futures Managed Funds Examination (S31)	Series 31	10/09/2007
General Securities Representative Examination (S7)	Series 7	08/23/2007

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/01/2016
Uniform Combined State Law Examination (S66)	Series 66	10/24/2007

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
B	08/08/2016 - 06/07/2019	EMERSON EQUITY LLC	CRD# 130032	Adison, TX
IA	11/18/2015 - 12/31/2017	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	CRD# 281593	DALLAS, TX
IA	05/23/2014 - 09/21/2015	ADVANCED PRACTICE ADVISORS, LLC	CRD# 154084	LA QUINTA, CA
IA	08/06/2012 - 02/12/2014	DLK INVESTMENT MANAGEMENT	CRD# 149096	SAN DIEGO, CA
B	06/01/2009 - 08/17/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SAN DIEGO, CA
IA	06/01/2009 - 08/17/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SAN DIEGO, CA
IA	10/26/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	08/24/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY

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
03/2023 - Present	FIRETHORN ALTERNATIVE EQUITY LLC	Manager	Y	Frisco, TX, United States
03/2023 - Present	FIRETHORN INVESTMENT ADVISORY LLC	Manager	Y	Frisco, TX, United States
07/2019 - Present	KB Squared Investments, LLC	Manager	N	Austin, TX, United States
03/2017 - Present	Kingstone Insurance Company	Agent	N	Dallas, TX, United States
10/2015 - Present	Kingstone Capital Partners Texas, LLC	Chief Executive Officer and Chief Compliance Officer	Y	Dallas, TX, United States
10/2015 - Present	MIDLAND NATIONAL LIFE INSURANCE CO.	INSURANCE AGENT	Y	SIOUX FALLS, SD, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2015 - Present	Kingstone Partners Holdings 1 LLC	Member	N	Willmington, DE, United States
03/2016 - 06/2019	Emerson Equity LLC	Associate	Y	San Mateo, 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.

MEMBER OF KINGSTONE CAPITAL PARTNERS TEXAS, LLC; INVESTMENT RELATED; DALLAS, TEXAS 75219; REGISTERED INVESTMENT ADVISOR; START DATE 10/2015; DUTIES: CEO AND CCO; DEVOTES APPROX. 160 HOURS PER MONTH, INCLUDING 7.5 HOURS DURING TRADING HOURS.

MEMBER OF KINGSTONE PARTNERS HOLDINGS 1 LLC; NON-INVESTMENT RELATED; WILMINGTON, DE 19808; START DATE 06/2015; HOLDING COMPANY FOR KINGSTONE CAPITAL PARTNERS TEXAS, LLC; DEVOTES APPROX. 5 HOURS PER MONTH, INCLUDING 0 HOURS DURING TRADING HOURS. DUTIES: MEMBER;

MEMBER OF KINGSTONE INSURANCE CO. (VIA OWNERSHIP OF KINGSTONE HOLDINGS 1 LLC); NON-INVESTMENT RELATED; DALLAS, TX 75219; GENERAL INSURANCE AGENCY; 10 HOURS PER MONTH, MOST OF WHICH WILL NOT OCCUR DURING SECURITY TRAINING HOURS; PROVIDES LIFE INS. AND PRODUCTS.

INSURANCE AGENT (LICENSE #0F87353) LICENSED WITH MIDLAND NATIONAL LIFE INSURANCE CO. (START DATE 10/2015)(LOCATED IN SIOUX FALLS, SD) AND OHIO NATIONAL INSURANCE CO. (START DATE 4/2017)(LOCATED IN CINCINNATI, OH); INSURANCE AGENT; DEVOTES APPROX. 20 HOURS PER MONTH; MOST OF THESE HOURS WILL NOT OCCUR DURING TRADING HOURS.

MEMBER OF KINGSTONE FAMILY OFFICE SERVICES; DBA KINGSTONE FAMILY ENTERPRISES (VIA OWNERSHIP OF KINGSTONE HOLDINGS 1); NON-INVESTMENT RELATED; DALLAS, TEXAS 75219, START DATE 10/2016, DUTIES: MEMBER; DEVOTES APPROX. 10 HOURS PER MONTH, MOST OF THESE WILL NOT OCCUR DURING TRADING HOURS

MEMBER OF KINGSTONE PRIVATE ADVISORS (VIA OWNERSHIP OF KINGSTONE HOLDINGS 1 LLC); NON-INVESTMENT RELATED; DALLAS, TEXAS 75219, START DATE 10/2017; THIS ENTITY PROVIDES FINANCIAL PLANNING TO CLIENTS WHO ARE PLANNING A LIQUIDITY EVENT; DEVOTES APPROX. 10 HOURS PER MONTH, MOST OF THESE WILL NOT OCCUR DURING TRADING HOURS.

MEMBER OF KINGSTONE REAL ESTATE (VIA OWNERSHIP OF KINGSTONE HOLDINGS 1 LLC); NON-INVESTMENT RELATED; DALLAS, TEXAS 75219; START DATE 10/2017; PASS THROUGH ENTITY FOR ACCOUNT PURPOSES; 2 HOURS PER MONTH ALL WHICH WILL OCCUR OUTSIDE TRADING HOURS.

MEMBER AND MANAGER OF KB SQUARED INVESTMENTS, LLC; NON-INVESTMENT RELATED; 5900 BALCONES DR STE 100 AUSTIN, TEXAS 75219; START DATE 07/2019; 2 HOURS PER MONTH ALL WHICH WILL OCCUR OUTSIDE TRADING HOURS.

MEMBER AND MANAGER OF FIRETHORN ALTERNATIVE EQUITY, LLC; INVESTMENT RELATED; 10601 CLARENCE DR., SUITE 250, FRISCO, TEXAS 75033; START DATE 03/2023; 1 HOUR PER MONTH ALL WHICH WILL OCCUR OUTSIDE TRADING HOURS. ANTICIPATED TO SERVE AS PRIVATE FUND VEHICLE.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MEMBER AND MANAGER OF FIRETHORN INVESTMENT ADVISORY, LLC; INVESTMENT RELATED; 10601 CLARENCE DR., SUITE 250, FRISCO, TEXAS 75033; START DATE 03/2023; 1 HOUR PER MONTH ALL WHICH WILL OCCUR OUTSIDE TRADING HOURS. ANTICIPATED TO SERVE AS EXEMPT REPORTING ADVISER TO FIRETHORN ALTERNATIVE EQUITY LLC.



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
Termination	2

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Firm Name: Advanced Practice Advisors LLC

Termination Type: Discharged

Termination Date: 09/14/2015

Allegations: Concerned about refinancing business and source of funds/repayment. PNP states that all OBAs must be cleared before they are formed. Potential red flag issues. APA terminated Kenneth Blattenbauer for suspicion of borrowing client funds and lying about it when questioned.

Product Type: Banking Products (other than CDs)
Direct Investment-DPP & LP Interests
Equity Listed (Common & Preferred Stock)
Insurance
Money Market Fund
Mutual Fund
Real Estate Security

Firm Statement Conducting outside business activities without first getting approval of OBA's. Missed deadlines on complying with APA handbook and related requests.

Reporting Source: Individual

Firm Name: Advanced Practice Advisors LLC

Termination Type: Discharged

Termination Date: 09/14/2015

Allegations: Applicant entered into a loan agreement with a third party for the purpose of funding a business refinancing. APA alleges that the third party was a client of the firm . APA alleges the lending arrangement with the third party was in violation of



its internal policies and procedures.

Product Type:

Banking Products (other than CDs)
Direct Investment-DPP & LP Interests
Equity Listed (Common & Preferred Stock)
Insurance
Money Market Fund
Mutual Fund
Real Estate Security

Broker Statement

Applicant was not registered with a FINRA member broker dealer at the time of the allegations so literally not possible to have violated FINRA 3240.

Applicant contends that irrespective of not being affiliated with a FINRA member broker dealer, at the time of the allegations, Applicant do not violate FINRA Rule 3240.

Disclosure 2 of 2

Reporting Source:

Firm

Firm Name:

MORGAN STANLEY SMITH BARNEY, LLC

Termination Type:

Discharged

Termination Date:

07/19/2012

Allegations:

ALLEGATIONS THAT REGISTERED REPRESENTATIVE FAILED TO ADHERE TO TERMS OF JOINT PRODUCTION AGREEMENTS WITH OTHER FINANCIAL ADVISORS RELATING TO COMMISSIONS.

Product Type:

No Product

Reporting Source:

Individual

Firm Name:

Morgan Stanley Smith Barney, LLC

Termination Type:

Discharged

Termination Date:

07/19/2012

Allegations:

Allegations that Applicant failed to adhere to terms of joint production agreements with other financial advisors relating to commissions.

Product Type:

No Product



End of Report

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