



IAPD Report

Alexander Jones

CRD# 5835712

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

Alexander Jones (CRD# 5835712)

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 **03/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	07/26/2024

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
IA	EUDAIMONIA PARTNERS, LLC	283884	Franklin, TN	01/04/2022 - 04/02/2025
IA	GUARDIAN STRATEGIC WEALTH PLANNERS	300255	FRANKLIN, TN	02/21/2019 - 10/27/2022
B	LPL FINANCIAL LLC	6413	FRANKLIN, TN	03/24/2011 - 12/31/2020

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




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: **KINGSWOOD WEALTH ADVISORS, LLC**
Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288792

	Regulator	Registration	Status	Date
	Tennessee	Investment Adviser Representative	Approved	07/26/2024

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
554 Franklin Rd
Franklin, TN 37069




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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/13/2012

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/02/2012
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/11/2010

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/2011
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/2010

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/04/2022 - 04/02/2025	EUDAIMONIA PARTNERS, LLC	CRD# 283884	Franklin, TN
IA	02/21/2019 - 10/27/2022	GUARDIAN STRATEGIC WEALTH PLANNERS	CRD# 300255	FRANKLIN, TN
B	03/24/2011 - 12/31/2020	LPL FINANCIAL LLC	CRD# 6413	FRANKLIN, TN
IA	12/12/2011 - 03/18/2020	LPL FINANCIAL LLC	CRD# 6413	FRANKLIN, TN
B	09/13/2010 - 03/16/2011	FIRST TENNESSEE BROKERAGE, INC.	CRD# 17117	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
07/2024 - Present	Kingswood Wealth Advisors	Investment Advisor	Y	Franklin, TN, United States
01/2022 - Present	Eudaimonia Partners, LLC	Financial Advisor	Y	Franklin, TN, United States
01/2019 - 12/2021	Guardian Wealth Solutions, Inc.	President & Chief Compliance Officer / Investment Adviser Representative	Y	FRANKLIN, TN, United States
06/2011 - 12/2021	GUARDIAN FINANCIAL	PRESIDENT	Y	FRANKLIN, TN, United States
03/2011 - 12/2020	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	FRANKLIN, 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. 12/26/2017 - No Business Name - Investment Related - At Reported Business Location(s) - Notary - Started 09/16/2014 - 1 Hours Per Month During Securities Trading - Notary Public - Commission Expires 10/31/2021.

2. 12/10/2018 - Simplicity Life/Guardian Financial Group, Inc. - Not Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 11/16/2018 - 15 Hours Per Month/1 Hour During Securities Trading - Fixed insurance.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. 3/12/2020 - Intrepid Management Inc/Guardian Management, LLC - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Owner and President - Started 02/28/2020 - 15 Hours Per Month/0 Hours During Securities Trading.

4. Aperio Path Software LLC- Not Investment Related - Address 554 Franklin Rd, Suite 105 Franklin TN 37069. (SaaS) Development of software for risk management and increasing enterprise value for business owners. - investor and minority owner - Alpha to start started November 2022. 10 hours per month / 0 hours during securities trading.

5. 09/15/2022 Guardian Tax Advisors LLC - Not Investment Related- At Reported Business Locations(s) - Firm to provide consulting on tax planning and tax strategies. Owner and officer - Started 10-2022 - 5 hours per month / 0 during trading hours.

6. 10-1-2022 Guardian Elite Services LLC - Not Investment Related - At reported Address - Firm to provide services to business owners in partnership with professional advisors. Owner and Officer - Started 11-1-2022. 5 hours per month / 0 hours during trading.

Notary Public,Is Not Investment Related,"554 Franklin Rd, Suite 105, Franklin, TN, 37069, United States",Notary,N/A,9/16/2014,1 hours per month,0 hours per month during trading hours,No Compensation Compensation,Notary public commission expires 02/07/2026

"Guardian Financial Group Inc, Guardian SWP",Is Not Investment Related,"554 Franklin Rd, Suite 105, Franklin, TN, 37069, United States",Independent Insurance Brokerage,Owner,11/16/2018,20 hours per month,5 hours per month during trading hours,Commission Compensation,Non variable insurance



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

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:	Regulator
Regulatory Action Initiated By:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/18/2020
Docket/Case Number:	TSD No.: 21-044
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/Guardian%20Wealth%20-%20Consent%20Order%20-%20Executed.pdf
Employing firm when activity occurred which led to the regulatory action:	Guardian Wealth Solutions, Inc.
Product Type:	No Product
Allegations:	The firm did not meet and maintain minimum net capital requirements for six (6) months. The firm's balance sheets inaccurately included assets of entities other than Guardian in its application for registration. The Respondents did not properly identify specific advisory fees in Guardian's agreement used for its two hundred seventeen (217) clients. The Respondents utilized an engagement letter for its financial planning clients that did not satisfy the forty-eight (48) hour rule. See Tenn. Comp. R. & Regs. 0780-04-03-.10(2)(a)(1.).
Current Status:	Final
Resolution:	Order



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:

03/23/2022

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:

\$6,000.00

Portion Levied against individual:

\$6,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Reporting Source:

Individual

Regulatory Action Initiated By:

Tennessee Securities Division

Sanction(s) Sought:

Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated:

12/18/2020

Docket/Case Number:

TSD NO. 21-044

Employing firm when activity occurred which led to the regulatory action:

GUARDIAN WEALTH SOLUTIONS, INC

Product Type:

No Product

Allegations:

THE FIRM DID NOT MAINTAIN MINIMUM NET CAPITAL REQUIREMENTS FOR 6 MONTHS WHEN ITS BALANCE SHEETS INCLUDED ASSETS OF GUARDIAN AFFILIATE COMPANIES IN ITS ASSETS. THE FIRM DID NOT IDENTIFY SPECIFIC ADVISORY FEES IN ITS CUSTOMER AGREEMENT. THE FIRM USED AN ENGAGEMENT LETTER FOR FINANCIAL PLANNING CLIENTS THAT DID NOT ALLOW FOR 48 HOURS TO REVIEW.

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:	03/23/2022
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:	\$6,000.00
Portion Levied against individual:	\$6,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/25/2022
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	<p>On December 18, 2020, the Securities Division of the Tennessee Department of Commerce and Insurance ("Division") opened a routine compliance examination of Guardian Wealth Solutions, LLC ("Guardian"). The Division concluded that Guardian cooperated in the examination and promptly provided all of the documents and information sought by the Division during the course of the examination.</p> <p>As a result of that audit, the Division concluded that Guardian did not meet and maintain minimum net capital requirements for certain months within a twenty-four month period. That lapse was the result of Guardian providing financial statements to the Division which reflected the assets in some cases of affiliates of Guardian and not assets exclusively contained in accounts held in Guardian's name. At the time that Guardian registered as an investment advisor with the Division, it was a newly formed entity and was in the process of opening accounts in its name with the assistance of an experienced legal and compliance firm. The financial statements Guardian provided to the Division accurately reflected the assets held by Guardian and its affiliates. Upon recognition of the issue, Guardian maintained net capital requirements in accounts held in its name without further lapse and demonstrated compliance with the net capital requirement since the Division first brought the matter to Guardian's attention.</p> <p>The Division also concluded Guardian also did not adequately identify the specific advisory fees charged to clients in their client agreements. The client agreement was drafted by and subsequently reviewed by two separate legal and compliance firms prior to use. In addition, The Division reviewed the same client agreement in prior examinations and expressed no concerns at that time. Upon learning of the Division's concerns following this audit, Guardian immediately and voluntarily revised its client agreement and had each of Guardian's clients execute the revised agreement. None of Guardian's clients refused to execute the revised agreement or raised any concerns with the advisory fees charged. To Guardian's knowledge, none of its clients raised any concerns with the Division about the advisory fees or their disclosure by Guardian.</p>



Finally, the Division concluded that Guardian utilized an engagement letter for its financial planning clients that did not satisfy the forty-eight (48) hour rule. Guardian has taken corrective action to ensure it will satisfy the 48 hour-rule going forward.



End of Report

This page is intentionally left blank.