



## IAPD Report

### Michael Kiss

CRD# 6425865

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



## **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

### Michael Kiss (CRD# 6425865)

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 **11/05/2021**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CHARLES SCHWAB & CO., INC.	CRD# 5393	07/01/2015
IA	SCHWAB WEALTH ADVISORY, INC.	CRD# 159035	06/26/2020

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **51** 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	CHARLES SCHWAB & CO., INC.	5393	SAN FRANCISCO, CA	06/23/2020 - 07/06/2020

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?

**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 **51** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **SCHWAB WEALTH ADVISORY, INC.**  
Main Address: 211 MAIN STREET  
SAN FRANCISCO, CA 94105-1901  
Firm ID#: 159035





	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	06/26/2020
	Texas	Investment Adviser Representative	Approved	11/05/2021

#### Branch Office Locations

**SCHWAB WEALTH ADVISORY, INC.**  
2423 E Lincoln Dr  
Phoenix, AZ 85016

#### Employment 2 of 2

Firm Name: **CHARLES SCHWAB & CO., INC.**  
Main Address: 3000 SCHWAB WAY  
WESTLAKE, TX 76262-8104  
Firm ID#: 5393

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/01/2015
	FINRA	General Securities Sales Supervisor	Approved	02/09/2018
	Nasdaq Stock Market	General Securities Representative	Approved	07/01/2015
	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/09/2018
	Alabama	Agent	Approved	01/06/2017



## Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	08/03/2015
B	Arizona	Agent	Approved	07/13/2015
B	Arkansas	Agent	Approved	01/05/2017
B	California	Agent	Approved	08/03/2015
B	Colorado	Agent	Approved	01/03/2017
B	Connecticut	Agent	Approved	08/03/2015
B	Delaware	Agent	Approved	08/14/2015
B	District of Columbia	Agent	Approved	08/04/2015
B	Florida	Agent	Approved	01/05/2017
B	Georgia	Agent	Approved	01/09/2017
B	Hawaii	Agent	Approved	01/03/2017
B	Idaho	Agent	Approved	05/31/2016
B	Illinois	Agent	Approved	01/04/2017
B	Indiana	Agent	Approved	01/05/2017
B	Iowa	Agent	Approved	08/03/2015
B	Kansas	Agent	Approved	01/06/2017
B	Kentucky	Agent	Approved	01/03/2017
B	Louisiana	Agent	Approved	01/03/2017
B	Maine	Agent	Approved	01/05/2016



## Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	08/05/2015
B	Massachusetts	Agent	Approved	01/04/2017
B	Michigan	Agent	Approved	01/05/2017
B	Minnesota	Agent	Approved	01/04/2017
B	Mississippi	Agent	Approved	01/04/2017
B	Missouri	Agent	Approved	01/20/2017
B	Montana	Agent	Approved	05/31/2016
B	Nebraska	Agent	Approved	08/03/2015
B	Nevada	Agent	Approved	06/14/2016
B	New Hampshire	Agent	Approved	01/11/2017
B	New Jersey	Agent	Approved	08/03/2015
B	New Mexico	Agent	Approved	01/04/2017
B	New York	Agent	Approved	08/04/2015
B	North Carolina	Agent	Approved	01/09/2017
B	North Dakota	Agent	Approved	06/01/2016
B	Ohio	Agent	Approved	01/03/2017
B	Oklahoma	Agent	Approved	01/11/2017
B	Oregon	Agent	Approved	06/01/2016
B	Pennsylvania	Agent	Approved	01/03/2017



## Qualifications

	Regulator	Registration	Status	Date
B	Rhode Island	Agent	Approved	01/03/2017
B	South Carolina	Agent	Approved	08/04/2015
B	South Dakota	Agent	Approved	01/05/2017
B	Tennessee	Agent	Approved	01/06/2017
B	Texas	Agent	Approved	01/03/2017
B	Utah	Agent	Approved	01/05/2017
B	Vermont	Agent	Approved	01/11/2017
B	Virginia	Agent	Approved	08/03/2015
B	Washington	Agent	Approved	08/05/2015
B	West Virginia	Agent	Approved	01/12/2017
B	Wisconsin	Agent	Approved	01/03/2017
B	Wyoming	Agent	Approved	01/03/2017

## Branch Office Locations

**CHARLES SCHWAB & CO., INC.**  
2423 E Lincoln Dr  
Phoenix, AZ 85016-1215



## 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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	02/09/2018
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/10/2017

#### 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	07/01/2015

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/23/2020
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/2015



### 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	06/23/2020 - 07/06/2020	CHARLES SCHWAB & CO., INC.	CRD# 5393	SAN FRANCISCO, CA

### 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
04/2020 - Present	Schwab Private Client Investment Advisory	Investment Advisor	Y	Phoenix, AZ, United States
10/2017 - Present	Charles Schwab Bank	Shared Employee	Y	Phoenix, AZ, United States
12/2014 - Present	CHARLES SCHWAB & CO., INC	Registered Representative	Y	PHOENIX, AZ, United States
09/2017 - 06/2018	RACERS RIG LLC	Co-Owner	N	Phoenix, AZ, United States
10/2011 - 11/2014	MEDIA INNOVATION TECHNOLOGIES	PROJECT MANAGER/ INSTALLER	N	SCOTTSDALE, AZ, 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) Merch by Amazon | Not investment related| Start 07/18/2018| Retail| T-Shirt Designer| Phoenix, AZ| Less than 20 hours/month - 0 during trading hours| Utilize "Merch by Amazon" to upload my own personal art/designs to be printed on and sold on t-shirts. The nature of the artwork is modern art/ automotive designs



## End of Report

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