



IAPD Report

David Brian Heaney

CRD# 6611102

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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

David Brian Heaney (CRD# 6611102)

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 **09/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	02/13/2025
IA	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	02/13/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	MML INVESTORS SERVICES, LLC	10409	Overland Park, KS	07/10/2023 - 08/01/2024
B	MML INVESTORS SERVICES, LLC	10409	Overland Park, KS	07/06/2023 - 08/01/2024
IA	PARK AVENUE SECURITIES LLC	46173	OLATHE, KS	12/08/2021 - 08/15/2022

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
Judgment/Lien	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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HORNOR, TOWNSEND & KENT, LLC**
Main Address: 161 WASHINGTON STREET
CONSHOHOCKEN, PA 19428
Firm ID#: 4031

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/13/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	02/13/2025
B	Kansas	Agent	Approved	02/13/2025
IA	Kansas	Investment Adviser Representative	Approved	02/13/2025
B	Texas	Agent	Approved	02/13/2025

Branch Office Locations

HORNOR, TOWNSEND & KENT, LLC
4000 West 114th Street
Suite 140
Leawood, KS 66211



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, 3 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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	General Securities Representative Examination (S7TO)	Series 7TO	10/15/2021
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	12/21/2020
	Securities Industry Essentials Examination (SIE)	SIE	08/05/2020

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/2021
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/2021

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	07/10/2023 - 08/01/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	Overland Park, KS
B	07/06/2023 - 08/01/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	Overland Park, KS
IA	12/08/2021 - 08/15/2022	PARK AVENUE SECURITIES LLC	CRD# 46173	OLATHE, KS
B	12/21/2020 - 08/15/2022	PARK AVENUE SECURITIES LLC	CRD# 46173	OLATHE, KS

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
02/2025 - Present	Hornor, Townsend & Kent, LLC	Registered Representative	Y	Wilmington, DE, United States
01/2025 - Present	The Penn Mutual Life Insurance Company	Agent	Y	Wilmington, DE, United States
08/2024 - 02/2025	Whole Child Therapy	Admin	N	Leawood, KS, United States
06/2023 - 07/2024	MML Investors Services, LLC	Registered Representative	Y	Overland Park, KS, United States
08/2022 - 07/2024	MassMutual Life Insurance Co	Agent	Y	Overland Park, KS, United States
05/2020 - 08/2022	Guardian Life Insurance Company	Agent	Y	Olathe, KS, United States
05/2020 - 08/2022	Park Avenue Securities LLC	Registered Representative	Y	Olathe, KS, United States
08/2014 - 08/2022	Select General Contracting	Owner	N	Stilwell, KS, 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.

INSURANCE BROKERAGE | INVESTMENT RELATED: YES | DBA NAME: 1847FINANCIAL | POSITION HELD: AGENT |



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 4000 WEST 114TH ST, STE 140, LEAWOOD, KS 66211 | START DATE: 01/24/2025 | NATURE OF ACTIVITY: INSURANCE BROKERAGE | APPROX HRS PER MTH: 80 | APPROX TRADING HRS PER MTH: 80 | DESCRIPTION OF DUTIES: INSURANCE SALES AND SERVICE INCLUDING PENN MUTUAL LIFE PRODUCTS



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
Judgment/Lien	2

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Capital One Bank US NA
Judgment/Lien Amount:	\$2,895.00
Judgment/Lien Type:	Civil
Date Filed with Court:	05/15/2014
Date Individual Learned:	05/06/2021
Type of Court:	District Court
Name of Court:	District Court of Johnson County, KS
Location of Court:	Johnson County, KS
Docket/Case #:	14LA2812
Judgment/Lien Outstanding?	Yes
Broker Statement	Credit was used for business purposes. The business stopped operations in 2014. I was the signer on the card and received a default judgement against me personally for the business debt. I was notified about the judgement in 2021 and it was added to my declarations. I am currently working on resolving the judgement and expect resolution before year end 2023.

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Barclays Bank Delaware
Judgment/Lien Amount:	\$4,402.00
Judgment/Lien Type:	Civil
Date Filed with Court:	04/10/2014
Date Individual Learned:	05/06/2021



Type of Court:	District Court
Name of Court:	District Court of Johnson County KS
Location of Court:	Johnson County, KS
Docket/Case #:	14LA1795
Judgment/Lien Outstanding?	Yes
Broker Statement	Credit was used for business purposes. The business stopped operations in 2014. I was the signer on the card and received a default judgement against me personally for the business debt. I was notified about the judgement in 2021 and it was added to my declarations. I am currently working on resolving the judgement and expect resolution before year end 2023.



End of Report

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