



## IAPD Report

# KENNETH ALAN KAMEN

CRD# 720953

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Information	7

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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 ALAN KAMEN (CRD# 720953)

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 **01/31/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	CW ADVISORS, LLC	CRD# 310873	06/13/2024

### QUALIFICATIONS

This representative is currently registered in **0** 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
<b>B</b>	MERCADIEN SECURITIES	122461	HAMILTON, NJ	01/30/2003 - 01/24/2025
<b>IA</b>	MERCADIEN ASSET MANAGEMENT, LLC	121546	HAMILTON, NJ	04/20/2004 - 12/13/2024
<b>B</b>	PRINCETON SECURITIES CORPORATION	21613	SYOSSET, NY	05/17/1988 - 04/18/2001

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

### Employment 1 of 1

Firm Name: **CW ADVISORS, LLC**  
Main Address: 155 SEAPORT BLVD  
3RD FLOOR  
BOSTON, MA 02210  
Firm ID#: 310873

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	06/13/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	07/02/2024

### Branch Office Locations

**CW ADVISORS, LLC**  
3625 QUAKERBRIDGE ROAD  
HAMILTON, NJ 08619

**CW ADVISORS, LLC**  
YARDLEY, PA







## 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 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	02/17/2004
 Financial and Operations Principal Examination (S27)	Series 27	02/09/1990
 General Securities Principal Examination (S24)	Series 24	08/23/1988

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	10/03/2000
 General Securities Representative Examination (S7)	Series 7	12/20/1980

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/10/2004
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/07/2003



## 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	01/30/2003 - 01/24/2025	MERCADIEN SECURITIES	CRD# 122461	HAMILTON, NJ
IA	04/20/2004 - 12/13/2024	MERCADIEN ASSET MANAGEMENT, LLC	CRD# 121546	HAMILTON, NJ
B	05/17/1988 - 04/18/2001	PRINCETON SECURITIES CORPORATION	CRD# 21613	SYOSSET, NY
B	02/23/2001 - 04/17/2001	KIRLIN SECURITIES INC.	CRD# 21210	SYOSSET, NY
B	06/13/2000 - 12/31/2000	KIRLIN SECURITIES INC.	CRD# 21210	SYOSSET, NY
B	04/12/1988 - 05/31/1988	FAHNESTOCK & CO., INC.	CRD# 249	
B	04/01/1988 - 04/12/1988	FAHNESTOCK INTERNATIONAL INC.	CRD# 279	
B	01/27/1987 - 04/01/1988	FAHNESTOCK & CO., INC.	CRD# 249	
B	10/31/1983 - 02/03/1987	ROONEY, PACE INC.	CRD# 6218	
B	10/25/1982 - 10/03/1985	G. K. SCOTT & CO., INC.	CRD# 3305	
B	12/30/1980 - 10/28/1982	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	

### 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	CW ADVISORS, LLC	MANAGING DIRECTOR	Y	HAMILTON, NJ, United States
06/2002 - 01/2025	MERCADIEN SECURITIES, LLC	PRESIDENT	Y	HAMILTON, NJ, United States
06/2004 - 12/2024	MERCADIEN ASSET MANAGEMENT, LLC	PRESIDENT	Y	HAMILTON, NJ, United States



## Registration & Employment History



### 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.

No information reported.



## 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/31/1991
<b>Docket/Case Number:</b>	C9A910058
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PRINCETON SECURITIES CORPORATION
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	12/31/1991
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$2,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	
<b>Regulator Statement</b>	ON DECEMBER 31, 1991, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C9A910058 (DISTRICT NO. 9) SUBMITTED BY RESPONDENTS



PRINCETON SECURITIES CORPORATION, KENNETH A. KAMEN, AND STEPHEN J. TAORMINA WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTIONS 1, 21(b), 27, AND 33 APPENDIX E OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT KAMEN, IN CONTRAVENTION OF SEC RULE 17a-3, FAILED TO ACCURATELY REFLECT GENERAL LEDGER BALANCES; FAILED TO ESTABLISH AND MAINTAIN ADEQUATE WRITTEN SUPERVISORY PROCEDURES; AND, FAILED TO DISCLOSE REQUIRED INFORMATION ON CUSTOMER CONFIRMATION; AND, IN CONTRAVENTION OF SECTION 63 OF THE UNIFORM PRACTICE CODE, FAILED TO OBTAIN APPROVAL OF ITS ASSIGNMENTS OF ALLOCATION PROCEDURES; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT TAORMINA, FAILED TO INDICATE ON THE SALES MEMORANDA PREPARED FOR TRANSACTIONS IN NON-NASDAQ SECURITIES THE NAME OF THE DEALER CONTACTED AND THE QUOTATIONS RECEIVED TO DETERMINE THE BEST INTER-DEALER MARKET; AND, FAILED TO OBTAIN REQUIRED INFORMATION WITH RESPECT TO OPTION ACCOUNTS).

\*\*\$2,500.00 PAID ON 1/24/92 INVOICE #92-9A-50\*\*\*

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD DISTRICT 9

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:** \$2000.00 FINE AGAINST CONTROL AFFILIATE AND EMPLOYING FIRM, JOINTLY & SEVERALY

**Date Initiated:** 04/17/1991

**Docket/Case Number:** C9A910058

**Employing firm when activity occurred which led to the regulatory action:** PRINCETON SECURITIES CORPORATION

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** VIOLATIONS OF NASD RULES 2110, 3110, 2860, 11850 AND SEC RULES 17A-3 AND 10B-10.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 12/31/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$2,000.00

**Other Sanctions Ordered:**

**Sanction Details:** CONTROL AFFILIATE AND EMPLOYING FIRM CENSURED AND FINED \$2,000.00, JOINTLY AND SEVERALLY

**Broker Statement** FINAL (RESOLVED 12/31/1991)



## End of Report

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