



## IAPD Report

# KENNETH JOHN LEACH

CRD# 826383

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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 JOHN LEACH (CRD# 826383)

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 **12/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NEWEDGE ADVISORS	CRD# 171351	11/01/2021

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	MID ATLANTIC FINANCIAL MANAGEMENT, INC.	109771	JUPITER, FL	01/12/2007 - 11/01/2021
B	MID ATLANTIC CAPITAL CORPORATION	10674	JUPITER, FL	02/06/2007 - 09/30/2020
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	07/01/2003 - 01/16/2007

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
Civil Event	1
Customer Dispute	3



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

### Employment 1 of 1

Firm Name: **NEWEDGE ADVISORS**  
Main Address: 858 CAMP STREET  
NEW ORLEANS, LA 70130  
Firm ID#: 171351

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	Maine	Investment Adviser Representative	Approved	11/01/2021
	Texas	Investment Adviser Representative	Restricted Approval	11/01/2021

### Branch Office Locations

**NEWEDGE ADVISORS**  
1001 US Highway 1  
Suite 101  
Jupiter, FL 33477



## 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	03/13/1987
 General Securities Representative Examination (S7)	Series 7	08/21/1976

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/10/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/15/1988

### 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	01/12/2007 - 11/01/2021	MID ATLANTIC FINANCIAL MANAGEMENT, INC.	CRD# 109771	JUPITER, FL
B	02/06/2007 - 09/30/2020	MID ATLANTIC CAPITAL CORPORATION	CRD# 10674	JUPITER, FL
B	07/01/2003 - 01/16/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 01/16/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	STUART, FL
IA	01/03/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	STUART, FL
B	04/03/1981 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/20/1978 - 11/30/1983	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	09/01/1976 - 02/03/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

### 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
11/2021 - Present	NewEdge Advisors, LLC.	Mass Transfer	Y	NEW ORLEANS, LA, United States
01/2007 - 11/2021	MID ATLANTIC FINANCIAL MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	PITTSBURGH, PA, United States
01/2007 - 09/2020	MID ATLANTIC CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	PITTSBURGH, PA, 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.

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
Civil Event	1
Customer Dispute	3

### 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:** MARYLAND

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/31/1990

**Docket/Case Number:**

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

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** NA

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 02/28/1990

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** ORDER TO SHOW CAUSE AND SUMMARY POSTPONEMENT ISSUED ON 1/31/90, SECTION 11-412(A)(4) OF



THE ACT. KENNETH JOHN LEACH DID NOT WITHDRAW OR REQUEST A HEARING. THE FINAL ORDER OF AGENT REGISTRATION WAS ISSUED ON 2/28/90. NO DOCKET/CASE NUMBER WAS GIVEN, DATED 2/28/90.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF MARYLAND

**Sanction(s) Sought:** Denial

**Other Sanction(s) Sought:**

**Date Initiated:** 01/31/1990

**Docket/Case Number:** UNKNOWN

**Employing firm when activity occurred which led to the regulatory action:** PRUDENTIAL SECURITIES INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILURE TO RESPOND TO CERTIFIED MAIL INQUIRY REGARDING PENDING APPLICATION.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 02/28/1990

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** DENIED STATE OF MARYLAND REGISTRATION

**Broker Statement** THE APPLICANT NEVER RECEIVED OR SIGNED FOR A CERTIFIED MAILING FROM STATE OF MARYLAND REGARDING APPLICATION.  
THE STATE ISSUED ORDER OF DENIAL. ALL INFORMATION WAS SUBSEQUENTLY SENT.



### Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

#### Disclosure 1 of 1

**Reporting Source:** Regulator  
**Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Relief Sought:**

**Other Relief Sought:**

**Date Court Action Filed:** 04/20/1983

**Product Type:**

**Other Product Types:**

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

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 04/20/1983

**Sanctions Ordered or Relief Granted:** Cease and Desist/Injunction  
Disgorgement/Restitution

**Other Sanctions:**

**Sanction Details:**

**Regulator Statement** SEC NEWS DIGEST, APRIL 21, 1983, ISSUE 83-77. ON APRIL 20, 1983, A COMPLAINT WAS FILED IN THE US DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK AGAINST GEORGE J. GASPER, JOSEPH F. SCHRECK, TODD B. MARSH, LAWRENCE K. MARSH, EUGENE L. HALL, KIM B. STIRES, DONALD RITGER, KENNETH LEACH AND MARK YAGER. THE COMPLAINANT ALLEGES VIOLATIONS OF THE ANTIFRAUD AND TENDER OFFER PROVISIONS OF THE SECURITIES LAWS IN CONNECTION WITH THE OFFER AND SALE OF CLARK OIL AND REFINING CORPORATION STOCK, WHILE IN POSSESSION OF MATERIAL, NON-PUBLIC INFORMATION DURING THE PERIOD OF DECEMBER 1979-JANUARY 1980. SIMULTANEOUSLY WITH THE FILING OF HE COMPLAINT, SCRECK, STIRES, T. MARSH, L. MARSH, LEACH AND YAGER CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TO AN ORDER OF PERMANENT INJUNCTION AGAINST FURTHER VIOLATIONS AND TO DISGORGE PROFITS AND COMMISSIONS REALIZED BY THEM. (SEC V. GEORGE J. GASPER, ET AL., 83-CIV-3037, CBM, SDNY)(LR-9970)

**Reporting Source:** Individual



<b>Initiated By:</b>	SECURITIES AND EXCHANGE COMMISSION
<b>Relief Sought:</b>	Other
<b>Other Relief Sought:</b>	NOT PROVIDED
<b>Date Court Action Filed:</b>	04/21/1983
<b>Product Type:</b>	Other
<b>Other Product Types:</b>	NOT PROVIDED
<b>Court Details:</b>	US DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, 83-CIV-3037
<b>Employing firm when activity occurred which led to the action:</b>	SOLOMON SMITH BARNEY
<b>Allegations:</b>	NOT PROVIDED
<b>Current Status:</b>	Final
<b>Resolution:</b>	Judgment Rendered
<b>Resolution Date:</b>	04/21/1983
<b>Sanctions Ordered or Relief Granted:</b>	Cease and Desist/Injunction Disgorgement/Restitution
<b>Other Sanctions:</b>	
<b>Sanction Details:</b>	NOT PROVIDED
<b>Broker Statement</b>	AN SEC ORDER OF PERMANENT INJUNCTION FILED BY THE SEC ON 4/21/83.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** THE CLIENTS FILED A CLAIMING ALLEGING MISREPRESENTATION IN THE OFFERING DOCUMENTS OF VARIOUS LIMITED PARTNERSHIPS AND BREACH OF FIDUCIARY DUTY. THE CLAIM SOUGHT DAMAGES OF \$594.317 NO ALLEGATIONS WERE MADE AGAINST KENNETH LEACH.

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Alleged Damages:** \$594,317.00

### Customer Complaint Information

**Date Complaint Received:** 04/16/1992

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 11/01/1992

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-02316

**Date Notice/Process Served:** 04/01/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/01/1992

**Monetary Compensation Amount:** \$97,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** IN SETTLEMENT OF ALL CLAIMS, PRUDENTIAL SECURITIES PAID THE [CUSTOMERS] THE SUM OF \$97,000. NOT PROVIDED

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** THE [CUSTOMERS] ALLEGED THAT THEY RECEIVED MISLEADING AND UNSUITABLE INVESTMENT ADVICE IN CONNECTION WITH CERTAIN DIRECT INVESTMENT PURCHASED THROUGH PRUDENTIAL SECURITIES. THE FIRM AND I CONTENDED, HOWEVER, THAT NOT ONLY WERE ALL TRANSACTIONS CONSISTENT WITH THE [CUSTOMERS'] STATED INVESTMENT OBJECTIVES, BUT THAT THE MAJORITY OF THE TRANSACTIONS COMPLAINED - OF WERE NOT EVEN SOLICITATED TRADES.

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Alleged Damages:** \$100,956.32

**Customer Complaint Information**

**Date Complaint Received:** 02/01/1992

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/01/1993

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-00702

**Date Notice/Process Served:** 02/01/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/01/1993

**Monetary Compensation Amount:** \$29,500.00

**Individual Contribution Amount:**

**Broker Statement** THE AMOUNT WHICH PRUDENTIAL SECURITIES AGREED TO PAY THE [CUSTOMERS] IN SETTLEMENT OF THEIR CLAIMS WAS \$29,500. NOT PROVIDED

**Disclosure 3 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INC.



**Allegations:** THE CLAIMANTS ALLEGE MISREPRESENTATION IN THE SALE TO THEM OF SHARES IN A MUTUAL FUND AND INTERESTS IN A LIMITED PARTNERSHIP. THEY ALSO ALLEGE THAT THEIR SIGNATURES WERE SIGNED WITHOUT AUTHORIZATION ON DOCUMENTS RELATING TO THEIR SUBSCRIPTION FOR LIMITED PARTNERSHIP INTERESTS. ALLEGED LOSSES IN EXCESS OF \$114,000.00

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Other Product Type(s):** MUTUAL FUNDS

**Alleged Damages:** \$114,000.00

### Customer Complaint Information

**Date Complaint Received:** 05/13/1991

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 06/18/1992

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NEW YORK STOCK EXCHANGE CAN NOT FIND THE DOCKET NUMBER DUE TO THE CASE IS 10YEARS OLD.

**Date Notice/Process Served:** 05/13/1991

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/18/1992

**Monetary Compensation Amount:** \$95,000.00

**Individual Contribution Amount:**

**Broker Statement** SETTLED COMPLAINT FOR \$95,000.00.  
NOT PROVIDED



## End of Report

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