



## IAPD Report

# NORMAN LEE ANDERSON

CRD# 843908

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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

### NORMAN LEE ANDERSON (CRD# 843908)

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 **12/11/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	11/02/2018
<b>IA</b>	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	11/07/2018

### 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
<b>IA</b>	FIRST ALLIED ADVISORY SERVICES, INC.	137888	PHOENIX, AZ	03/11/2014 - 08/30/2018
<b>B</b>	FIRST ALLIED SECURITIES, INC.	32444	PHOENIX, AZ	01/31/2014 - 08/30/2018
<b>IA</b>	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	PHOENIX, AZ	08/20/2007 - 02/03/2014

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
Termination	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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

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
IA Arizona	Investment Adviser Representative	Approved	11/07/2018

#### Branch Office Locations

**KINGSWOOD WEALTH ADVISORS, LLC**  
4600 E Shea Blvd  
Suite 203  
Phoenix, AZ 85028

#### Employment 2 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**  
Main Address: 11440 W. BERNARDO CT.  
SUITE 300  
SAN DIEGO, CA 92127  
Firm ID#: 288898

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/02/2018
B FINRA	General Securities Representative	Approved	11/02/2018
B FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B FINRA	Operations Professional	Approved	11/02/2018
B Arizona	Agent	Approved	11/07/2018



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> California	Agent	Approved	11/05/2018

## Branch Office Locations

Phoenix, AZ



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	08/06/1998

#### General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	08/30/2018
General Securities Representative Examination (S7)	Series 7	09/15/1984
Registered Representative Examination (S1)	Series 1	10/08/1977

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/1995
Uniform Securities Agent State Law Examination (S63)	Series 63	08/22/1984

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** 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	03/11/2014 - 08/30/2018	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	PHOENIX, AZ
B	01/31/2014 - 08/30/2018	FIRST ALLIED SECURITIES, INC.	CRD# 32444	PHOENIX, AZ
IA	08/20/2007 - 02/03/2014	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	PHOENIX, AZ
B	07/20/1998 - 02/03/2014	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	PHOENIX, AZ
B	02/12/1990 - 07/24/1998	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	03/16/1987 - 03/06/1990	EQUICO SECURITIES, INC.	CRD# 6627	
B	03/16/1987 - 03/06/1990	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	09/20/1984 - 03/06/1990	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	01/17/1986 - 06/02/1988	PHILADELPHIA LIFE ASSET PLANNING COMPANY	CRD# 629	
B	10/20/1980 - 02/21/1986	EQUICO SECURITIES, INC.	CRD# 6627	
B	10/13/1977 - 02/20/1986	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	

### 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
10/2018 - Present	Chalice Capital Partners, LLC	Financial Advisor	Y	San Diego, CA, United States
10/2018 - Present	Chalice Wealth Advisors, LLC	Investment Advisor Representative	Y	SAN DIEGO, CA, United States
04/1984 - Present	NORMAN L. ANDERSON & ASSOC.	OWNER / AGENT / REP	N	PHOENIX, AZ, United States
04/2014 - 08/2018	First Allied Advisory Services, Inc.	Investment Advisor Representative	Y	CHESTERFIELD, MO, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2014 - 08/2018	First Allied Securities Inc	Registered Representative	Y	SAN DIEGO, CA, 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.) INSURANCE; AGENT; INSURANCE; START DATE 02/01/2014; 20 HOURS PER MONTH.
- 2.) DMDB, LLC; REAL ESTATE; SPOUSE OF LLC OWNER/MANAGER; START DATE 01/01/2016; 4 HOURS A MONTH
- 3.) ANDERSON TEAM FINANCIAL LLC; REGISTERED REPRESENTATIVE; DBA; START DATE: 05/22/2017; 160 HOURS PER MONTH.
- 4.) Norman L. Anderson
  - not investment related
  - fixed life insurance, disability income, and medicare supplements
  - insurance- not variable
  - sole proprietor
  - 1986
  - 60 hours
  - 60 hours
  - sales and service
- 5) Norman L Anderson
  - not investment related
  - tax strategies
  - marketing ERC program
  - referral
  - 11/14/2022
  - 20 hours
  - 0 hours
  - Marketing ERC programs in association with Richard and Kyle Rogers at Dannah Group



## 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
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Termination	1
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### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	First Allied
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	08/07/2018
<b>Allegations:</b>	RR violated the Firm's communication policies by repeatedly sending group emails to retail customers without obtaining Firm approval and by sending a securities related text message to a customer utilizing a system that was not approved by the Firm.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	First Allied Securities, Inc.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	08/07/2018
<b>Allegations:</b>	RR violated the Firm's communication policies by repeatedly sending group emails to retail customers without obtaining Firm approval and by sending a securities related text message to a customer utilizing a system that was not approved by the Firm.
<b>Product Type:</b>	No Product



## End of Report

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