

BrokerCheck Report

KEVIN WILLIAM KELLY

CRD# 1292543

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

KEVIN W. KELLY

CRD# 1292543

Currently employed by and registered with the following Firm(s):

IA RBC CAPITAL MARKETS, LLC
 455 PATROON CREEK BLVD.
 SUITE 200
 ALBANY, NY 12206
 CRD# 31194
 Registered with this firm since: 03/31/2022

B RBC CAPITAL MARKETS, LLC
 455 PATROON CREEK BLVD.
 SUITE 200
 ALBANY, NY 12206-5011
 CRD# 31194
 Registered with this firm since: 03/31/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 22 Self-Regulatory Organizations
- 21 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA JANNEY MONTGOMERY SCOTT LLC**
 CRD# 463
 PHILADELPHIA, PA
 01/2009 - 04/2022
- B JANNEY MONTGOMERY SCOTT LLC**
 CRD# 463
 ALBANY, NY
 12/2008 - 04/2022
- B CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 ALBANY, NY
 07/2000 - 12/2008

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 22 SROs and is licensed in 21 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	03/31/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	FINRA	General Securities Representative	Approved	03/31/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	03/31/2022
B	FINRA	Investment Co./Variable Contracts Prin	Approved	03/31/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	03/31/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	MEMX LLC	General Securities Representative	Approved	03/31/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	03/31/2022
B	NYSE American LLC	General Securities Representative	Approved	03/31/2022



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/31/2022
B	NYSE National, Inc.	General Securities Representative	Approved	03/31/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	03/31/2022
B	Nasdaq BX, Inc.	General Securities Representative	Approved	03/31/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	03/31/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/31/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/31/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	03/31/2022
B	New York Stock Exchange	General Securities Representative	Approved	03/31/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/31/2022
B	California	Agent	Approved	03/31/2022
B	Colorado	Agent	Approved	03/31/2022
B	Connecticut	Agent	Approved	03/31/2022
B	Florida	Agent	Approved	03/31/2022
IA	Florida	Investment Adviser Representative	Approved	08/08/2024
B	Georgia	Agent	Approved	03/31/2022
B	Maine	Agent	Approved	03/31/2022
B	Massachusetts	Agent	Approved	03/31/2022
B	Minnesota	Agent	Approved	04/08/2022
B	New Hampshire	Agent	Approved	03/31/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	03/31/2022
B	New York	Agent	Approved	03/31/2022
IA	New York	Investment Adviser Representative	Approved	03/31/2022
B	North Carolina	Agent	Approved	04/05/2022
B	Ohio	Agent	Approved	06/21/2022
B	Pennsylvania	Agent	Approved	03/31/2022
B	Rhode Island	Agent	Approved	08/13/2024
B	South Carolina	Agent	Approved	03/31/2022
B	Tennessee	Agent	Approved	03/31/2022
B	Texas	Agent	Approved	03/31/2022
IA	Texas	Investment Adviser Representative	Approved	03/31/2022
B	Vermont	Agent	Approved	03/31/2022
B	Virginia	Agent	Approved	03/31/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
 455 PATROON CREEK BLVD.
 SUITE 200
 ALBANY, NY 12206-5011

RBC CAPITAL MARKETS, LLC
 Voohreesville, NY

RBC CAPITAL MARKETS, LLC
 Indian Shores, FL



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	07/31/1986

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/29/1990
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/10/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/06/2009
B Uniform Securities Agent State Law Examination	Series 63	08/10/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2009 - 04/2022	JANNEY MONTGOMERY SCOTT LLC	463	ALBANY, NY
B 12/2008 - 04/2022	JANNEY MONTGOMERY SCOTT LLC	463	ALBANY, NY
B 07/2000 - 12/2008	CITIGROUP GLOBAL MARKETS INC.	7059	ALBANY, NY
B 08/1990 - 07/2000	FIRST ALBANY CORPORATION	298	NEW YORK, NY
B 08/1984 - 09/1990	FIRST INVESTORS CORPORATION	305	EDISON, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2022 - Present	RBC CAPITAL MARKETS, LLC	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
12/2008 - 03/2022	JANNEY MONTGOMERY SCOTT LLC	REGISTERED REPRESENTATIVE	Y	PHILADELPHIA, PA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) WILDWOOD FOUNDATION BOARD OF DIRECTORS. NON-INVESTMENT RELATED. CURRY ROAD, SCHENECTADY, NY. NATURE- NON-PROFIT. POSITION- PRESIDENT. START DATE- 06/21/00. 2 HRS/MONTH; 0 HRS DURING BUSINESS. DUTIES- FUNDRAISING AND ADVOCACY.

2) NAME OF ENTITY: Rental Property-Chestertown, NY
 ADDRESS: 5387-5391 State Route 8, Chestertown, NY 12817
 INVESTMENT/NOT INVESTMENT RELATED: No
 BUSINESS DESCRIPTION: vacation rental property



Registration and Employment History

Other Business Activities, continued

CAPACITY: Owner - Active

START DATE: 8/1/20

DUTIES: collect rent, pay expenses, maintain property

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(3)NAME: Rental property-Indian Shores

Non-Investment related

ADDRESS: 18400 Gulf Blvd unit 1112 Indian Shores, FL 33785

Nature of OBA: vacation rental property

Position/Title/Relationship: Owner - Active

Start Date: 09/01/20

Time Devoted: less than 1 hr/ avg week; 0 during securities trading

DUTIES: maintain property and pay bills

4) NAME OF ENTITY: KKRS Properties, LLC

ADDRESS: 1001 West Creek Lane, Altamont, NY 12009

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: rental property

CAPACITY: Owner - Active

START DATE: 12/23/20

DUTIES: collect rent, pay expenses, maintain property

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

End of Report



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