

## BrokerCheck Report

# KEVIN BLAKE PERLBERG

CRD# 1424365

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)



## KEVIN B. PERLBERG

CRD# 1424365

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

**B** **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**  
 167 S MAIN ST  
 THIENSVILLE, WI 53092  
 CRD# 20804  
 Registered with this firm since: 02/11/2011

**IA** **BLACKHAWK CAPITAL PARTNERS, LLC**  
 167 S. MAIN STREET  
 THIENSVILLE, WI 53092  
 CRD# 158020  
 Registered with this firm since: 07/15/2011

## 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:

- 1 Self-Regulatory Organization
- 18 U.S. states and territories

This broker has passed:

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

### Registration History

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

- IA** **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**  
 CRD# 20804  
 SCOTTSDALE, AZ  
 02/2011 - 06/2012
- IA** **QA3 FINANCIAL LLC**  
 CRD# 104957  
 OMAHA, NE  
 11/2003 - 02/2011
- B** **QA3 FINANCIAL CORP.**  
 CRD# 14754  
 THIENSVILLE, WI  
 11/2003 - 02/2011

### 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4



## 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 1 SRO and is licensed in 18 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **BLACKHAWK CAPITAL PARTNERS, LLC**

Main Office Address: **167 S. MAIN STREET  
THIENSVILLE, WI 53092**

Firm CRD#: **158020**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	07/15/2011
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	07/07/2023

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 2 of 2

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Office Address: **7333 E. DOUBLETREE RANCH ROAD #120  
SCOTTSDALE, AZ 85258-2023**

Firm CRD#: **20804**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	02/11/2011
<b>B</b>	FINRA	General Securities Representative	Approved	02/11/2011



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	02/11/2011
B	Colorado	Agent	Approved	06/29/2011
B	Florida	Agent	Approved	02/11/2011
B	Georgia	Agent	Approved	01/06/2023
B	Idaho	Agent	Approved	01/18/2023
B	Illinois	Agent	Approved	02/11/2011
B	Indiana	Agent	Approved	02/14/2011
B	Massachusetts	Agent	Approved	02/11/2011
B	Michigan	Agent	Approved	02/11/2011
B	Minnesota	Agent	Approved	02/11/2011
B	New Jersey	Agent	Approved	07/13/2016
B	New York	Agent	Approved	11/09/2021
B	North Carolina	Agent	Approved	01/03/2012
B	Oklahoma	Agent	Approved	11/09/2021
B	Texas	Agent	Approved	01/04/2018
B	Utah	Agent	Approved	12/11/2015
B	Washington	Agent	Approved	02/11/2011
B	Wisconsin	Agent	Approved	02/11/2011

### Branch Office Locations

**UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**  
167 S MAIN ST

## Broker Qualifications



### Employment 2 of 2, continued

THIENSVILLE, WI 53092

### UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER

21090 N PIMA RD  
SCOTTSDALE, AZ 85255

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## 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.

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	02/01/1996

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/15/1987
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	04/07/1987

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/10/1987

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

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

### Certified Financial Planner

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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 and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 02/2011 - 06/2012	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	SCOTTSDALE, AZ
IA 11/2003 - 02/2011	QA3 FINANCIAL LLC	104957	THIENSVILLE, WI
B 11/2003 - 02/2011	QA3 FINANCIAL CORP.	14754	THIENSVILL, WI
IA 08/2000 - 08/2004	K. P. FINANCIAL, INC.	111312	THIENSVILLE, WI
B 12/1994 - 11/2003	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 01/1990 - 01/1995	HARBOUR INVESTMENTS, INC.	19258	MADISON, WI
B 08/1987 - 01/1990	DREHER & ASSOCIATES, INC.	8665	OAKBROOK TERRACE, IL
B 04/1987 - 09/1987	B.C. CHRISTOPHER SECURITIES CO.	60	

### 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
12/2019 - Present	Kblake126	Owner	N	SCOTTSDALE, AZ, United States
01/2015 - Present	KPDT, LLC	PARTNER	N	THIENSVILLE, WI, United States
10/2014 - Present	DAKTORI	NONE	N	DALLAS, TX, United States
08/2013 - Present	LION STREET	Owner/Producer	N	Thiensville, WI, United States
06/2011 - Present	BLACKHAWK CAPITAL PARTNERS, LLC	MANAGING PARTNER	Y	THIENSVILLE, WI, United States
02/2011 - Present	UNITED PLANNERS' FINANCIAL SERVICES	REG REP	Y	SCOTTSDALE, AZ, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2011 - Present	Blackhawk Capital Partners, LLC	Managing Partner	Y	Thiensville, WI, United States
01/1984 - Present	BLACKHAWK CAPITAL PARTNERS, LLC	PARTNER	N	THIENSVILLE, WI, United States
06/2013 - 05/2021	CALAMO, LLC	OWNER	N	THIENSVILLE, WI, United States
05/1989 - 12/2014	KP INVESTMENT REAL ESTATE	OWNER	Y	MILWAUKEE, WI, 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.) BLACKHAWK CAPITAL PARTNERS, LLC - MANAGING PARTNER - DBA NAME FOR MARKETING PURPOSES ONLY - THIENSVILLE, WI - SINCE 01/2011 - INVESTMENT RELATED
- 2.) LION STREET - OWNER/PRODUCER - NON-VARIABLE INSURANCE - THIENSVILLE, WI - SINCE 08/2013 - NOT INVESTMENT RELATED
- 3.) KPDT, LLC - PARTNER - REAL ESTATE SALES/RENTAL PROPERTIES/PROPERTY MANAGEMENT - THIENSVILLE, WI - SINCE 01/2015 - NOT INVESTMENT RELATED
- 4.) BLACKHAWK CAPITAL PARTNERS, LLC - PARTNER - NON-VARIABLE INSURANCE - THIENSVILLE, WI - SINCE 01/1984 - INVESTMENT RELATED
- 5.) BLACKHAWK CAPITAL PARTNERS, LLC - MANAGING PARTNER - REGISTERED INVESTMENT ADVISOR - THIENSVILLE, WI - SINCE 06/2011 - INVESTMENT RELATED
- 6.) DAKTORI - DOCTOR CONSULTING FIRM - DALLAS, TX - SINCE 10/2014 - NOT INVESTMENT RELATED
- 7.) ASSOCIATE PERSON OF UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER, A FINRA AND SEC REGISTERED BROKER-DEALER AND MEMBER OF SIPC. 7333 E. DOUBLETREE RANCH ROAD, SUITE 120, SCOTTSDALE, AZ 85258.
- 8.) KBLAKE126 - OWNER - HOME OFFICE FOR PERSONAL AFFAIRS IE ASSET PROTECTION AND ESTATE PLANNING - SCOTTSDALE, AZ - SINCE 12/2019 - NOT INVESTMENT RELATED



## Disclosure Events

### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	4	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
<b>Allegations:</b>	An arbitration claim was received by the respondent, United Planners, where the Registered Representative sold the product at issue. the following claims were made against United Planners: Unsuitability, common law fraud, breach of contract, negligent supervision, breach of fiduciary duty, negligence and aiding and abetting fraud.
<b>Product Type:</b>	Other: Alternative Investment
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	No damage amount is specified and firm determination indicates that amount would not be less than \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	21-01545



**Filing date of arbitration/CFTC reparation or civil litigation:** 06/17/2021

### Customer Complaint Information

**Date Complaint Received:** 06/17/2021  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 01/25/2022  
**Settlement Amount:** \$45,000.00  
**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FSC SECURITIES CORPORATION

**Allegations:** CLIENT ALLEGES THAT REPRESENTATIVE DID NOT INFORM HIM THAT HE WOULD BE RESPONSIBLE FOR FUTURE PREMIUM PAYMENTS ON VARIABLE UNIVERSAL LIFE POLICY.

**Product Type:** Insurance

**Other Product Type(s):** VARIABLE LIFE

**Alleged Damages:** \$10,168.46

### Customer Complaint Information

**Date Complaint Received:** 01/26/2001  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 04/02/2001  
**Settlement Amount:** \$10,168.46  
**Individual Contribution Amount:** \$0.00



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	United Planners Financial Services of America
<b>Allegations:</b>	Unsuitability
<b>Product Type:</b>	Insurance Oil & Gas Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Firm believes that the alleged unspecified amount may exceed \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-01477
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/08/2020

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/18/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	05/14/2021

**Settlement Amount:****Individual Contribution Amount:****Disclosure 2 of 2**

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	QA3 FINANCIAL CORP.
<b>Allegations:</b>	CLIENT WAS MAD HE COULD NOT CASH IN HIS INLAND AMERICAN REIT. HE CALLED IT A PONZIE SCHEME
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	NO MONEY HAS BEEN LOST; CLIENT WAS MAD HE COULD NOT CASH IN HIS INLAND AMERICAN REIT.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

**Customer Complaint Information**

<b>Date Complaint Received:</b>	01/26/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn
<b>Status Date:</b>	04/22/2010

**Settlement Amount:****Individual Contribution Amount:**

<b>Broker Statement</b>	ON 4/22/10 [CUSTOMER] SENT KEVIN AN EMAIL ASKING HIM TO "..DISREGARD MY PREVIOUS MESSAGE AND CONTINUE TO TRADE MY ACCOUNTS AS YOU AND THE VERY CAPABLE PEOPLE OF SILVERHAWK SEE FIT."
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## End of Report



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