

## BrokerCheck Report

### WILLIAM EUGENE KING III

CRD# 1542794

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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.

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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)

**WILLIAM E. KING III**

CRD# 1542794

**Currently employed by and registered with the following Firm(s):****B SEQUENCE FINANCIAL SPECIALISTS LLC**

181 E. Evans St  
Suite C1, BTC-001  
FLORENCE, SC 29506  
CRD# 132915

Registered with this firm since: 09/29/2025

**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
- 1 U.S. state or territory

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****B EXEMPLAR CAPITAL, LLC**

CRD# 155786  
Mt. Pleasant, SC  
02/2024 - 01/2025

**B SEQUENCE FINANCIAL SPECIALISTS LLC**

CRD# 132915  
Charleston, SC  
06/2015 - 02/2024

**B SECURITIES AMERICA, INC.**

CRD# 10205  
LAVISTA, NE  
01/1992 - 02/1997

**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 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **SEQUENCE FINANCIAL SPECIALISTS LLC**

Main Office Address: **181 E. EVANS STREET  
STE C1  
FLORENCE, SC 29506**

Firm CRD#: **132915**

SRO	Category	Status	Date
<b>B</b> FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	09/29/2025

U.S. State/ Territory	Category	Status	Date
<b>B</b> South Carolina	Agent	Approved	09/29/2025

### Branch Office Locations

#### SEQUENCE FINANCIAL SPECIALISTS LLC

181 E. Evans St  
Suite C1, BTC-001  
FLORENCE, SC 29506

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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. 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, 4 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	01/18/1991

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Private Securities Offerings	Series 82	05/07/2015
<b>B</b> National Commodity Futures Examination	Series 3	01/09/1989
<b>B</b> General Securities Representative Examination	Series 7	10/18/1986

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/02/2015

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 **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
<b>B</b> 02/2024 - 01/2025	EXEMPLAR CAPITAL, LLC	155786	Mt. Pleasant, SC
<b>B</b> 06/2015 - 02/2024	SEQUENCE FINANCIAL SPECIALISTS LLC	132915	Charleston, SC
<b>B</b> 01/1992 - 02/1997	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
<b>B</b> 05/1987 - 02/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
<b>B</b> 12/1986 - 05/1987	DEAN WITTER REYNOLDS INC.	7556	
<b>B</b> 10/1986 - 11/1986	THE STUART-JAMES COMPANY, INC.	11691	

### 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
08/2025 - Present	Sequence Financial Specialists, LLC	RR	Y	Florence, SC, United States
02/2024 - Present	Exemplar Capital, LLC	Managing Director	Y	Boston, MA, United States
06/2005 - 02/2024	SEQUENCE FINANCIAL SPECIALISTS LLC	MANAGING DIRECTOR	Y	CHARLESTON, SC, 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) SEQUENCE REAL ESTATE LLC 781 Meeting Street, Suite B, CHARLESTON, SC, 29403 NOT INVESTMENT RELATED, SINCE 5/13/2013; Position is OWNER AND BROKER IN CHARGE; Nature of the business is Commercial Real Estate; Duties include manage commercial real estate transactions; 5 hours per month, 0 hours during trading hours.

2) Sequence Holdings LLC, the holding company of both Sequence Real Estate LLC and Sequence Financial Specialists LLC, 781 Meeting St, Suite B, Charleston, SC 29403; 4/8/2014; Managing Director; not investment related; Managing business from a board like position; 5 hours per



## Registration and Employment History

### Other Business Activities, continued

month; 0 hours during trading hours.

3) W.E. King Holdings, LLC; 130 Riverside Dr, Eutawville, SC 29048; 6/2/2023; Position held, Single Member Manager; not investment related; Nature of business is Personal Business Affairs and Management Consulting; The duties would include Managing personal income and consulting; 3-4 hours per month, 0 hours per month during trading hours.

4) Rhino Attitude, LLC; 781 Meeting St, Suite B, Charleston, SC 29403; 9/5/2020; Position held, Partner; not investment related; Nature of business is Consulting; The duties would include consulting to business owners and individuals; 0 hours per month; 0 hours during trading hours.

5) Twist Elbow, LLC; 245 Sinkler Ave, Eutawville, SC 29048; 5/12/2023; Position held, Partner; not investment related; nature of the business would include Plumbing device patented and acquiring a license agreement to sell for royalties; Duties would include working with plumbing equipment distributors; 5 hours per month; 0 hours during trading hours.

6) Atlas Strategic Access LLC; Not Investment Related; 11 eWall Street, Suite 164, Mt. Pleasant, SC 29464; Consulting to increase revenues in a business; Managing Director; 02/2026; 25 hours; 25 hours during trading; Helping CEO's of companies to find access to new revenues

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## 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	1	3	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 3

**Reporting Source:** Firm

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

**Allegations:** ALLEGED MISREPRESENTATION AND UNAUTHORIZED TRADING IN FUTURES RESULT IN \$57,000.00 IN LOSSES.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 02/01/1990

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$51,400.00

**Individual Contribution Amount:**

**Firm Statement** WIHTOUT ADMITTING LIABILITY, THE FIRM PAID A SETTLEMENT OF \$51,400. CLIENT ALLEGES KING AND MICHAEL MANIS (HIS PARTNER) MISREPRESENTED RISKS IN FUTURES TRADING AND GUARANTEED



AGAINST LOSSES. CLIENT LOST MONEY, ATTEMPTED TO STOP TRADING  
BUT ALLEGED THAT KING AND MANIS CONTINUED TRADING.

**Reporting Source:** Broker

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

**Allegations:** ALLEGED IN MISREPRESENTATION AND UNAUTHORIZED TRADING IN FUTURES RESULTING IN 57,000.00 IN LOSSES

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 02/01/1990

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$51,400.00

**Individual Contribution Amount:**

**Broker Statement**

FIRM PD 51,400 WITHOUT ADMITTING LIABILITY.  
CLIENT ALLEGES KING & PARTNER MIKE MARNESSE  
MISREPRESENTED RISKS ON FUTURES TRADING & GUARANTEED  
AGAINST  
LOSS. CLIENT LOST MONEY & ATTEMPTED TO STOP TRADING BUT  
ALLEGES THAT KING & MARNESSE CONTINUED TRADING. PRU-BACHE  
MADE  
3 MISTAKES IN COMPUTER TRADING THAT CAUSED LOSS AND FIRM PAID  
FUNDS TO CLIENT.  
\*\* 12/24/91=DEFICIENCY LETTER SENT FOR DISCLOSURE OF [REDACTED]  
AND [REDACTED] COMPLAINTS.

### Disclosure 2 of 3

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:** DEAN WITTER

**Allegations:**

**Product Type:**

**Alleged Damages:** \$19,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/31/1989

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$12,000.00

**Individual Contribution Amount:**

**Firm Statement**

OTHER RELATED ITEM-13B1: AMENDED U5 RECEIVED FROM DEAN WITTER REYNOLDS INC. DISCLOSES, DEAN WITTER RECEIVED A LETTER OF COMPLAINT FROM CUSTOMER KENNETH W. CLARK REGARDING MR. KING. MR.

CLARK ALLEGED THAT MR. KING HAD ENGAGED IN UNAUTHORIZED AND UNSUITABLE TRADING IN MR. CLARK'S ACCOUNT. MR. CLARK ALLEGED LOSSES OF APPROXIMATELY \$19,000. WITHOUT ADMITTING ANY LIABILITY AND TO AVOID THE COST OF LITIGATION, DEAN WITTER SETTLED MR. CLARK'S CLAIM FOR \$12,000.

[6/5/90] REQUESTED CORRESPONDENCE (001822 15190) DISCLOSES, KENNETH W. CLARK'S COMPLAINT WAS FILED ON OCTOBER 31, 1989 AND WAS SETTLED ON MARCH 20, 1990.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** DEAN WITTER

**Allegations:** CLIENT ALLEGED BROKES KING & EUBANDS, DON, TRADED UNAUTHORIZED CLIENT ASKED FOR 100,000 IN ARBITRATION

**Product Type:**



**Alleged Damages:** \$19,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/31/1989

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$12,000.00

**Individual Contribution Amount:**

**Broker Statement** ARBITRATION RULED THAT CLIENT WOULD NOT RECEIVE COMPENSATION. 0 AMOUNT RULED Not Provided

### Disclosure 3 of 3

**Reporting Source:** Firm

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

**Allegations:**

**Product Type:**

**Alleged Damages:** \$47,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/10/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$12,800.00

**Individual Contribution Amount:**

**Firm Statement** \*OTHER RELATED ITEM 13B2.\* 3/14/90^ U5 FROM PRUDENTIAL-BACHE SECURITIES INC. DISCLOSES THAT KING WAS THE SUBJECT OF A



CUSTOMER COMPLAINT FILED BY "[REDACTED]," WHICH WAS SETTLED.  
 \*\*THE  
 FIRM INDICATED "AMENDMENT TO FOLLOW." \*\*\*SEE INCIDENT #1 FOR  
 DETAILS REGARDING THE CUSTOMER COMPLAINT.

**Reporting Source:** Broker

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

**Allegations:** ACCOUNT WAS NOT HANDLED PROPERLY BY BROKERS  
 GENE KING & ED MOORE

**Product Type:**

**Alleged Damages:** \$47,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/10/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$12,800.00

**Individual Contribution Amount:**

**Broker Statement**

PRUDENTIAL SETTLED THE ACCOUNT FOR BUSINESS REASONS AND NEITHER BROKER WAS CHARGED. 12,800.00 SPLIT BETWEEN ON U-5 ON KING OR MOORE (NEITHER BROKER CHARGED FOR THIS COMPLAINT) BECAUSE OF LOSSES IN 11-87 CLIENT FELT BROKERS HAD NOT HANDLED ACCOUNT PROPERLY. ALL TRANSACTIONS DOCUMENTED.



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SEQUENCE FINANCIAL SPECIALISTS LLC

**Allegations:** The claimants have requested undefined punitive damages based on an investment in an undefined alternative investment made by the claimants in a conservation easement and development offering. The firm believes the claim is without merit or basis, as the investors were sophisticated and knowledgeable investors who attested to the fact that they were knowledgeable and experienced investors and could withstand the loss of their investment, and following their investment in the offering, each of the investors also voted independently for the conservation easement, instead of the development option provided to them by the sponsor of the offering. For each transaction, the sponsor hired a qualified appraiser and each transaction had a second appraiser review the initial appraiser reports and approved the value reached by the initial appraiser.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Unspecified compensatory damages, pre-judgement interest, and attorney fees.

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 25-02386

**Filing date of arbitration/CFTC reparation or civil litigation:** 02/02/2026



## Customer Complaint Information

**Date Complaint Received:** 02/05/2026  
**Complaint Pending?** No  
**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)  
**Status Date:** 02/02/2026  
**Settlement Amount:**  
**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA  
**Docket/Case #:** 25-02386  
**Date Notice/Process Served:** 02/05/2026  
**Arbitration Pending?** Yes

## End of Report



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