

## BrokerCheck Report

**KAY ALISON JOHNSON**

CRD# 1583193

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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](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).

**KAY A. JOHNSON**

CRD# 1583193

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

**B ONESOURCE FI LLC**  
 Three World Financial Center  
 200 Vesey Street, 24th Floor  
 New York, NY 10281  
 CRD# 310933  
 Registered with this firm since: 08/03/2021

**B ALLIED MILLENNIAL PARTNERS, LLC**  
 THREE WORLD FINANCIAL CENTER  
 200 VESEY STREET 24TH FL  
 NEW YORK, NY 10281  
 CRD# 16569  
 Registered with this firm since: 03/23/2021

**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
- 3 U.S. states and territories

**This broker has passed:**

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

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

- B NATIONAL SECURITIES CORPORATION**  
 CRD# 7569  
 SEATTLE, WA  
 08/2002 - 04/2019
- B VFINANCE INVESTMENTS, INC**  
 CRD# 44962  
 SEATTLE, WA  
 01/2010 - 03/2018
- B RAYMOND JAMES FINANCIAL SERVICES, INC.**  
 CRD# 6694  
 ST. PETERSBURG, FL  
 01/1999 - 08/2002

**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 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **ALLIED MILLENNIAL PARTNERS, LLC**

Main Office Address: **THREE WORLD FINANCIAL CENTER  
200 VESEY STREET 24TH FL  
NEW YORK, NY 10281**

Firm CRD#: **16569**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	03/23/2021
B	FINRA	General Securities Principal	Approved	03/23/2021
B	FINRA	General Securities Representative	Approved	03/23/2021
B	FINRA	General Securities Sales Supervisor	Approved	03/23/2021
B	FINRA	Investment Banking Principal	Approved	03/23/2021
B	FINRA	Investment Banking Representative	Approved	03/23/2021
B	FINRA	Operations Professional	Approved	03/23/2021

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	03/28/2021
B	Washington	Agent	Approved	03/23/2021

### Branch Office Locations

**ALLIED MILLENNIAL PARTNERS, LLC**  
THREE WORLD FINANCIAL CENTER  
200 VESEY STREET 24TH FL



## Broker Qualifications

### Employment 1 of 2, continued

NEW YORK, NY 10281

### Employment 2 of 2

Firm Name: **ONESOURCE FI LLC**

Main Office Address: **200 VESEY STREET, 24TH FLOOR  
NEW YORK, NY 10281**

Firm CRD#: **310933**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	08/03/2021
B	FINRA	General Securities Principal	Approved	08/03/2021
B	FINRA	General Securities Representative	Approved	08/03/2021
B	FINRA	General Securities Sales Supervisor	Approved	08/03/2021
B	FINRA	Investment Banking Principal	Approved	08/03/2021
B	FINRA	Investment Banking Representative	Approved	08/03/2021
B	FINRA	Operations Professional	Approved	08/03/2021

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	08/31/2022
B	Washington	Agent	Approved	06/21/2022

### Branch Office Locations

#### ONESOURCE FI LLC

Three World Financial Center  
200 Vesey Street, 24th Floor  
New York, NY 10281



## 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 5 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	12/11/2001
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	01/15/1990

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/15/1986

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/17/1986

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> 08/2002 - 04/2019	NATIONAL SECURITIES CORPORATION	7569	SEATTLE, WA
<b>B</b> 01/2010 - 03/2018	VFINANCE INVESTMENTS, INC	44962	SEATTLE, WA
<b>B</b> 01/1999 - 08/2002	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
<b>B</b> 10/1997 - 01/1999	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
<b>B</b> 03/1993 - 12/1996	HOWE, SOLOMON & HALL, INC.	13386	MIAMI, FL
<b>B</b> 10/1988 - 12/1991	WATERHOUSE SECURITIES, INC.	7870	OMAHA, NE
<b>B</b> 11/1986 - 10/1988	SHEARSON LEHMAN HUTTON INC.	7506	

### 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
08/2021 - Present	Millennial Advisers, LLC	Chief Risk Officer, Regulatory Liaison until 12/2021. CCO from 1/2022 to present	Y	New York, NY, United States
07/2021 - Present	ONESOURCE FI, LLC	Regulatory Liaison to 12/2021. CCO from 12/2021 to present	Y	Bellevue, WA, United States
03/2021 - Present	Allied Millennial Partners	Chief Risk Officer, Regulatory Liaison to 12/2021. CCO from 1/2022 to present	Y	New York, NY, United States
06/2019 - 01/2024	Touchstone Financial Compliance	Owner	N	Bellevue, WA, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2020 - 06/2020	Ooba Tooba	Business Consultant	N	Bellevue, WA, United States
05/2019 - 06/2019	Unemployed	Unemployed	N	Seattle, WA, United States
08/2002 - 04/2019	NATIONAL SECURITIES CORP	CCO	Y	SEATTLE, WA, United States
01/2010 - 03/2018	VFINANCE INVESTMENTS, INC	CCO	Y	SEATTLE, WA, 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) FINRA Arbitrator/Chair. Non Inv Related, 07/2002. Industry Arbitrator/Chair for FINRA Dispute Resolution, Number of hrs/month <1; (2) 7579 Holdings, LLC. Inv Related. NY. Partner/Owner. Manager of Disruptive Ventures, LLC. September 2021. Number of hrs/month varies; (3) DV Management, LLC. Non Inv Related. NY. Partner/Owner. Holding Company for Disruptive Manager, LLC. August 2021. Number of hrs/month <1; (4) Disruptive Manager, LLC. (fka Disruptive Advisors, LLC.) Inv Related. NY. Partner/Owner. Manager of Disruptive Ventures Remote Revolution LLC. August 2021. Number of hrs/month varies; (5) 1059 Holdings, LLC. Non Inv Related. NY. Holding Company for OneSource FI, LLC. Partner/Owner. October 2021. Number of hrs/month <1; (6) 3JD Holdings, LLC. Inv Related. Partner/Owner. Investment Holding Company. August 2021. Number of hrs/month <1; (7) Millennial Advisers, LLC. Inv. Related, NY. CCO. January 2022. Number of hrs/month varies; (8) JPED Holdings, LLC. Non Inv Related. NY. Holding Company for Allied Millennial Partners, LLC., and Millennial Advisers, LLC. Partner/Owner December 2021. Number of hrs/month <1; (9) Registered Director. Inv Related. Caymans. May 2022 Number of hrs/month <5; (10) KJDI Holdings, LLC. Non Inv Related. NY Partner/Owner. Holding Company for DVI Management, LLC. May 2022. Number of hrs/month <1; (11) DVI Management, LLC. Inv Related. NY. Manager of DVI, LLC. and DVI QP LLC. May 2022 Number of hrs/month varies. (11.) Fund Distribution Consultants, LLC. Inv Related. Remote. Independent consulting firm responsible for distributing assets to investors for respondents subject to an SEC Order. Owner. August 2023. Number of hrs/month varies.

## End of Report



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