

BrokerCheck Report

PAUL JOHN KIEFER

CRD# 269074

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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.

**PAUL J. KIEFER**

CRD# 269074

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

- IA CAPITAL A WEALTH MANAGEMENT**
 6715 TIPPECANOE ROAD, B-201
 CANFIELD, OH 44406
 CRD# 328863
 Registered with this firm since: 02/08/2024
- B MADISON AVENUE SECURITIES, LLC**
 6715 Tippecanoe Rd B-201
 Canfield, OH 44406
 CRD# 23224
 Registered with this firm since: 01/24/2024

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
- 28 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 SA STONE INVESTMENT ADVISORS INC.**
 CRD# 174182
 BIRMINGHAM, AL
 01/2015 - 01/2024
- B STONEX SECURITIES INC.**
 CRD# 18456
 CANFIELD, OH
 09/2014 - 01/2024
- IA STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.**
 CRD# 7365
 YOUNGSTOWN, OH
 01/2001 - 01/2015

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 28 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CAPITAL A WEALTH MANAGEMENT**
 Main Office Address: **8050 ROWAN ROAD
 SUITE 401
 CRANBERRY TWP., PA 16066**
 Firm CRD#: **328863**

	U.S. State/ Territory	Category	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	02/08/2024

Branch Office Locations

6715 TIPPECANOE ROAD, B-201
 CANFIELD, OH 44406

8050 ROWAN ROAD
 SUITE 401
 CRANBERRY TWP., PA 16066

Employment 2 of 2

Firm Name: **MADISON AVENUE SECURITIES, LLC**
 Main Office Address: **13500 EVENING CREEK DR N
 #555
 SAN DIEGO, CA 92128**
 Firm CRD#: **23224**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/24/2024



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/24/2024

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	01/24/2024
B California	Agent	Approved	01/24/2024
B Colorado	Agent	Approved	01/24/2024
B Delaware	Agent	Approved	01/24/2024
B District of Columbia	Agent	Approved	04/23/2024
B Florida	Agent	Approved	01/24/2024
B Georgia	Agent	Approved	01/24/2024
B Illinois	Agent	Approved	01/24/2024
B Indiana	Agent	Approved	01/24/2024
B Kentucky	Agent	Approved	01/24/2024
B Louisiana	Agent	Approved	01/24/2024
B Massachusetts	Agent	Approved	01/24/2024
B Michigan	Agent	Approved	01/24/2024
B Mississippi	Agent	Approved	01/24/2024
B Nevada	Agent	Approved	04/23/2024
B New Jersey	Agent	Approved	01/24/2024
B New York	Agent	Approved	01/24/2024
B North Carolina	Agent	Approved	01/25/2024
B Ohio	Agent	Approved	01/24/2024



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	01/24/2024
B	Pennsylvania	Agent	Approved	01/24/2024
B	Rhode Island	Agent	Approved	01/24/2024
B	South Carolina	Agent	Approved	01/24/2024
B	Tennessee	Agent	Approved	01/24/2024
B	Texas	Agent	Approved	01/24/2024
B	Virginia	Agent	Approved	01/24/2024
B	Washington	Agent	Approved	01/24/2024
B	West Virginia	Agent	Approved	01/24/2024

Branch Office Locations

MADISON AVENUE SECURITIES, LLC

6715 Tippecanoe Rd B-201
Canfield, OH 44406



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/06/1986

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	04/14/1973

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/11/1986

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/.



Broker Qualifications

Professional Designations

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

Certified Financial Planner

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 01/2015 - 01/2024	SA STONE INVESTMENT ADVISORS INC.	174182	Canfield, OH
B 09/2014 - 01/2024	STONEX SECURITIES INC.	18456	CANFIELD, OH
IA 01/2001 - 01/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	7365	CANFIELD, OH
B 01/1991 - 09/2014	WRP INVESTMENTS, INC.	7365	CANFIELD, OH
B 09/1988 - 01/1991	AMERICAN CAPITAL EQUITIES, INC.	13272	
B 05/1984 - 09/1988	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 04/1973 - 06/1984	IDS LIFE INSURANCE COMPANY	6321	
B 04/1973 - 06/1984	IDS MARKETING CORPORATION	6363	
B 04/1973 - 06/1984	IDS/AMERICAN EXPRESS INC.	6320	

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
06/2025 - Present	Capital A Wealth Management	Financial Advisor and Investment Advisor Representative	Y	Cranberry Township, PA, United States
01/2024 - Present	Madison Avenue Securities	Registered Representative	Y	San Diego, CA, United States
01/2024 - 06/2025	Capital A Wealth Management	Financial Advisor and Investment Advisor Representative	Y	New Castle, PA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2014 - 02/2024	KIEFER FINANCIAL SERVICES	OWNER/FOUNDER	Y	CANFIELD, OH, United States
01/2015 - 01/2024	SA STONE INVESTMENT ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	CANFIELD, OH, United States
09/2014 - 01/2024	SA STONE WEALTH MANAGEMENT	REGISTERED REPRESENTATIVE	Y	CANFIELD, OH, 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. NAME: CAPITAL A WEALTH MANAGEMENT; ADDRESS: 6715 TOPPECANOE RD SUITE D-101, CANFIELD OH 44406; INVESTMENT RELATED: POSITION: FINANCIAL ADVISOR AND INVESTMENT ADVISOR REPRESENTATIVE INCLUDING INSURANCE LICENSED ACTIVITIES ; DUTIES: FINANCIAL ADVISOR HELPING WITH RETIREMENT PLANNING; HOURS PER WEEK: 40 HOURS; START DATE: 02/2024; 2. NAME: KIEFER FINANCIAL SERVICES; ADDRESS: 6715 TOPPECANOE RD SUITE D-101, CANFIELD OH 44406; INVESTMENT RELATED: YES; POSITION: FINANCIAL ADVISOR INCLUDING INSURANCE LICENSED ACTIVITIES ; DUTIES: FINANCIAL ADVISOR HELPING WITH RETIREMENT PLANNING; HOURS PER WEEK: 40 HOURS; START DATE: 05/1972

End of Report



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