BrokerCheck Report

KENNETH NIXON WILSON

CRD# 3014927

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

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.

KENNETH N. WILSON

CRD# 3014927

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

B **TOWER PRINCIPAL MARKETS LLC**
111 COLEMAN BLVD
SUITE 404
MOUNT PLEASANT, SC 29464
CRD# 319604
Registered with this firm since: 04/14/2023

B **TRC MARKETS LLC**
111 Coleman Blvd
Suite 404
Mount Pleasant, SC 29464
CRD# 171272
Registered with this firm since: 12/11/2015

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:

- 17 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

- 2 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 **AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC**
CRD# 103768
MT. PLEASANT, SC
01/2008 - 12/2015

B **CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
NEW YORK, NY
12/2004 - 12/2015

B **KNIGHT EXECUTION PARTNERS LLC**
CRD# 104228
CHICAGO, IL
09/2002 - 12/2004

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 17 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **TOWER PRINCIPAL MARKETS LLC**

Main Office Address: **111 COLEMAN BLVD**
SUITE 404
MOUNT PLEASANT, SC 29464

Firm CRD#: **319604**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/12/2023
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/12/2023
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	09/12/2023
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	09/12/2023
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/12/2023
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/12/2023
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	09/12/2023
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	09/12/2023
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	09/12/2023
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	05/28/2025
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/28/2025
B	Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	05/28/2025
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	05/28/2025
B	Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	05/28/2025
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	09/12/2023

Broker Qualifications

Employment 1 of 2, continued

	SRO	Category	Status	Date
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/12/2023
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	09/12/2023
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	09/12/2023
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	09/12/2023
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/12/2023
B	Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	09/12/2023
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	09/12/2023
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	09/12/2023
B	Cboe Exchange, Inc.	General Securities Principal	Approved	04/10/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/10/2024
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	04/10/2024
B	Cboe Exchange, Inc.	Securities Trader	Approved	04/10/2024
B	Cboe Exchange, Inc.	Securities Trader Principal	Approved	04/10/2024
B	FINRA	General Securities Principal	Approved	04/14/2023
B	FINRA	General Securities Representative	Approved	04/14/2023
B	FINRA	Registered Options Principal	Approved	04/14/2023
B	FINRA	Securities Trader	Approved	04/14/2023
B	FINRA	Securities Trader Principal	Approved	04/14/2023
B	Investors' Exchange LLC	General Securities Principal	Approved	10/17/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	10/17/2023
B	Investors' Exchange LLC	Securities Trader	Approved	10/17/2023
B	Investors' Exchange LLC	Securities Trader Principal	Approved	10/17/2023

Broker Qualifications

Employment 1 of 2, continued

	SRO	Category	Status	Date
B	NYSE Arca, Inc.	General Securities Principal	Approved	08/29/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/29/2023
B	NYSE Arca, Inc.	Registered Options Principal	Approved	08/29/2023
B	NYSE Arca, Inc.	Securities Trader	Approved	08/29/2023
B	NYSE Arca, Inc.	Securities Trader Principal	Approved	08/29/2023
B	Nasdaq BX, Inc.	General Securities Principal	Approved	09/12/2023
B	Nasdaq BX, Inc.	General Securities Representative	Approved	09/12/2023
B	Nasdaq BX, Inc.	Registered Options Principal	Approved	09/12/2023
B	Nasdaq BX, Inc.	Securities Trader	Approved	09/12/2023
B	Nasdaq BX, Inc.	Securities Trader Principal	Approved	09/12/2023
B	Nasdaq PHLX LLC	General Securities Principal	Approved	09/12/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/12/2023
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	09/12/2023
B	Nasdaq PHLX LLC	Securities Trader	Approved	09/12/2023
B	Nasdaq PHLX LLC	Securities Trader Principal	Approved	09/12/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	09/12/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	09/12/2023
B	Nasdaq Stock Market	Registered Options Principal	Approved	09/12/2023
B	Nasdaq Stock Market	Securities Trader	Approved	09/12/2023
B	Nasdaq Stock Market	Securities Trader Principal	Approved	09/12/2023
B	New York Stock Exchange	General Securities Principal	Approved	08/29/2023
B	New York Stock Exchange	General Securities Representative	Approved	08/29/2023

Broker Qualifications

Employment 1 of 2, continued

	SRO	Category	Status	Date
B	New York Stock Exchange	Securities Trader	Approved	08/29/2023
B	New York Stock Exchange	Securities Trader Principal	Approved	08/29/2023

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	04/14/2023

Branch Office Locations

TOWER PRINCIPAL MARKETS LLC
111 COLEMAN BLVD
SUITE 404
MOUNT PLEASANT, SC 29464

TOWER PRINCIPAL MARKETS LLC
111 COLEMAN BLVD
SUITE 404
MOUNT PLEASANT, SC 29464

TOWER PRINCIPAL MARKETS LLC
330 N Wabash
Suite 1450
Chicago, IL 60611

TOWER PRINCIPAL MARKETS LLC
120 Broadway
38th Floor
New York, NY 10271

Employment 2 of 2

Firm Name: **TRC MARKETS LLC**

Main Office Address: **111 COLEMAN BLVD**
SUITE 404
MOUNT PLEASANT, SC 29464

Firm CRD#: **171272**

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	04/13/2017
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/13/2017
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	04/13/2017
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	04/13/2017
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	04/13/2017
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/13/2017
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	04/13/2017
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	04/13/2017
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	07/31/2022
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	04/13/2017
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/13/2017
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	04/13/2017
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	04/13/2017
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	04/13/2017
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/13/2017
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	04/13/2017
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	04/13/2017
B	Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	07/31/2022
B	Cboe Exchange, Inc.	General Securities Principal	Approved	11/16/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/16/2022
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	11/16/2022
B	Cboe Exchange, Inc.	Securities Trader	Approved	11/16/2022

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	Cboe Exchange, Inc.	Securities Trader Principal	Approved	11/16/2022
B	FINRA	General Securities Principal	Approved	12/11/2015
B	FINRA	General Securities Representative	Approved	12/11/2015
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	01/29/2016
B	FINRA	Registered Options Principal	Approved	07/31/2022
B	Investors' Exchange LLC	General Securities Principal	Approved	07/10/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	07/10/2017
B	Investors' Exchange LLC	Securities Trader	Approved	07/10/2017
B	Investors' Exchange LLC	Securities Trader Principal	Approved	07/10/2017
B	MEMX LLC	General Securities Principal	Approved	08/06/2021
B	MEMX LLC	General Securities Representative	Approved	08/06/2021
B	MEMX LLC	Securities Trader	Approved	08/06/2021
B	MEMX LLC	Securities Trader Principal	Approved	08/06/2021
B	MIAX PEARL, LLC	General Securities Principal	Approved	10/07/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	10/07/2020
B	MIAX PEARL, LLC	Securities Trader	Approved	10/07/2020
B	MIAX PEARL, LLC	Securities Trader Principal	Approved	10/07/2020
B	MIAX PEARL, LLC	Registered Options Principal	Approved	07/31/2022
B	NYSE American LLC	General Securities Principal	Approved	04/20/2017
B	NYSE American LLC	General Securities Representative	Approved	04/20/2017
B	NYSE American LLC	Securities Trader	Approved	04/20/2017

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	NYSE American LLC	Securities Trader Principal	Approved	04/20/2017
B	NYSE American LLC	Registered Options Principal	Approved	07/31/2022
B	NYSE Arca, Inc.	General Securities Principal	Approved	12/11/2015
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/11/2015
B	NYSE Arca, Inc.	Securities Trader Principal	Approved	12/11/2015
B	NYSE Arca, Inc.	Securities Trader	Approved	01/04/2016
B	NYSE Arca, Inc.	Registered Options Principal	Approved	07/31/2022
B	NYSE National, Inc.	General Securities Principal	Approved	09/13/2018
B	NYSE National, Inc.	General Securities Representative	Approved	09/13/2018
B	NYSE National, Inc.	Securities Trader	Approved	09/13/2018
B	NYSE National, Inc.	Securities Trader Principal	Approved	09/13/2018
B	Nasdaq BX, Inc.	General Securities Principal	Approved	12/11/2015
B	Nasdaq BX, Inc.	General Securities Representative	Approved	12/11/2015
B	Nasdaq BX, Inc.	Securities Trader Principal	Approved	12/11/2015
B	Nasdaq BX, Inc.	Securities Trader	Approved	01/04/2016
B	Nasdaq BX, Inc.	Registered Options Principal	Approved	07/31/2022
B	Nasdaq PHLX LLC	General Securities Principal	Approved	05/01/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/01/2017
B	Nasdaq PHLX LLC	Member Exchange (NYSE)	Approved	05/01/2017
B	Nasdaq PHLX LLC	Securities Trader	Approved	05/01/2017
B	Nasdaq PHLX LLC	Securities Trader Principal	Approved	05/01/2017
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	07/31/2022

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	Nasdaq Stock Market	General Securities Principal	Approved	12/11/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	12/11/2015
B	Nasdaq Stock Market	Securities Trader Principal	Approved	12/11/2015
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	Nasdaq Stock Market	Registered Options Principal	Approved	07/31/2022
B	New York Stock Exchange	General Securities Principal	Approved	04/20/2017
B	New York Stock Exchange	General Securities Representative	Approved	04/20/2017
B	New York Stock Exchange	Securities Trader	Approved	04/20/2017
B	New York Stock Exchange	Securities Trader Principal	Approved	04/20/2017

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	12/11/2015

Branch Office Locations

TRC MARKETS LLC
111 Coleman Blvd
Suite 404
Mount Pleasant, SC 29464

TRC MARKETS LLC
120 Broadway
38th Floor
NEW YORK, NY 10271

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination	Series 4	07/30/2022
B	General Securities Principal Examination	Series 24	06/27/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	07/12/2011
B	General Securities Representative Examination	Series 7	06/03/2000

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	05/07/2011

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
B	01/2008 - 12/2015	AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC	103768	MT. PLEASANT, SC
B	12/2004 - 12/2015	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B	09/2002 - 12/2004	KNIGHT EXECUTION PARTNERS LLC	104228	CHICAGO, IL
B	06/2000 - 11/2000	KNIGHT SECURITIES, L.P.	38599	JERSEY CITY, 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
04/2022 - Present	TOWER PRINCIPAL MARKETS LLC	CHIEF EXECUTIVE OFFICER	Y	MT. PLEASANT, SC, United States
11/2015 - Present	TRC MARKETS LLC	CHIEF EXECUTIVE OFFICER	Y	MT. PLEASANT, 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) KENNETH WILSON IS A PARTNER OF WILSON FAMILY LIMITED PARTNERSHIP, LOCATED AT 1202 W. MAIN STREET, JACKSONVILLE AR 72076, TO WHICH HE DEVOTES 0 HOURS PER MONTH AND HAS LIMITED DUTIES. THE LIMITED PARTNERSHIP OWNS COMMERCIAL AND RESIDENTIAL PROPERTIES THAT ARE RENTED OUT. THE BUSINESS IS NOT INVESTMENT-RELATED AND DISSEMINATES OCCASIONAL CASH DISTRIBUTIONS TO ITS PARTNERS.

2) KENNETH WILSON IS THE MANAGING MEMBER OF PARALLEL PROPERTIES LLC, LOCATED AT 1154 AYERS PLANTATION WAY, MT PLEASANT, SC 29466, WHICH HE DEVOTES 1-5 HOURS PER MONTH. THE COMPANY CONDUCTS PRIVATE INVESTMENT IN LOCAL REAL ESTATE. THE BUSINESS IS INVESTMENT RELATED AND MAY CREATE PROCEEDS THROUGH SALE OF PROPERTIES OR RENTAL INCOME.

Registration and Employment History

Other Business Activities, continued

3) TRC MARKETS LLC, MT. PLEASANT, SC, INVESTMENT RELATED, CHIEF EXECUTIVE OFFICER OF REGISTERED BROKER/DEALER SINCE 11/2015.

4) TOWER PRINCIPAL MARKETS LLC, MT. PLEASANT, SC, INVESTMENT RELATED, CHIEF EXECUTIVE OFFICER SINCE 04/2022.

End of Report

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