

## BrokerCheck Report

### KENNETH KYLE KNOX

CRD# 4430828

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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.

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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)



## KENNETH K. KNOX

CRD# 4430828

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

**B** **KESTRA INVESTMENT SERVICES, LLC**  
 203 E Travis Street  
 Marshall, TX 75670  
 CRD# 42046  
 Registered with this firm since: 08/22/2019

**IA** **KESTRA ADVISORY SERVICES, LLC**  
 203 East Travis St  
 Marshall, TX 75670  
 CRD# 283330  
 Registered with this firm since: 08/22/2019

## 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
- 5 U.S. states and territories

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

- IA** **WOODBURY FINANCIAL SERVICES, INC.**  
 CRD# 421  
 OAKDALE, MN  
 07/2007 - 08/2019
- B** **WOODBURY FINANCIAL SERVICES, INC.**  
 CRD# 421  
 MARSHALL, TX  
 07/2007 - 08/2019
- IA** **1ST GLOBAL ADVISORS INC**  
 CRD# 111133  
 DALLAS, TX  
 10/2005 - 07/2007

### 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	3



## 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 5 U.S. states and territories through his or her employer.**

#### Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**  
 Main Office Address: **5707 SOUTHWEST PARKWAY  
 BUILDING 2, SUITE 400  
 AUSTIN, TX 78735**  
 Firm CRD#: **283330**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Texas	Investment Adviser Representative	Approved	08/22/2019

### Branch Office Locations

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

#### Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**  
 Main Office Address: **5707 SOUTHWEST PARKWAY  
 BUILDING 2, SUITE 400  
 AUSTIN, TX 78735**  
 Firm CRD#: **42046**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	08/22/2019
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	08/22/2019

  

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Arkansas	Agent	Approved	08/22/2019



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/22/2019
B	Indiana	Agent	Approved	08/22/2019
B	Louisiana	Agent	Approved	08/22/2019
B	Texas	Agent	Approved	08/22/2019

### Branch Office Locations

#### **KESTRA INVESTMENT SERVICES, LLC**

203 E Travis Street  
Marshall, TX 75670

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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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### 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	05/07/2003
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	08/30/2001

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/02/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/29/2001

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
IA 07/2007 - 08/2019	WOODBURY FINANCIAL SERVICES, INC.	421	MARSHALL, TX
B 07/2007 - 08/2019	WOODBURY FINANCIAL SERVICES, INC.	421	MARSHALL, TX
IA 10/2005 - 07/2007	1ST GLOBAL ADVISORS INC	111133	MARSHALL, TX
B 08/2005 - 07/2007	1ST GLOBAL CAPITAL CORP.	30349	MARSHALL, TX
B 08/2001 - 08/2005	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN

### 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
08/2019 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MARSHALL, TX, United States
08/2019 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	MARSHALL, TX, United States
07/2007 - 08/2019	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REP	Y	WOODBURY, MN, United States
08/2005 - 08/2019	KENNETH KNOX	FINANCIAL ADVISOR	Y	MARSHALL, TX, 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.

Business Name: Noble Wealth Advisors Investment Related: Yes Address: 203 E. Travis St. Marshall TX 75670 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory





## Registration and Employment History

### Other Business Activities, continued

Services, LLC Position, Title or Relationship: Advisor - Owner Start Date: 8/20/2019 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: this DBA name is established for marketing reasons and the requirements of KestraBusiness Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway, Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Financial Advisor Start Date: 8/20/2019 Hours per month: 71% - 80% (113 - 128 hours) Hours per month during trading hours: 71% - 80% (99 - 112 hours) Duties: Advisory ServicesBusiness Name: Kenneth Knox Investment Related: No Address: 203 E. Travis St. Marshall TX 75670 Nature of Business: Other Other/None of the Above Roping Position, Title or Relationship: Team Roping / Header Start Date: 8/15/2009 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Team Roping / HeaderBusiness Name: Knox Financial Advising Inc. Investment Related: Yes Address: 203 E. Travis St. Marshall TX 75670 Nature of Business: Other Back Office Operations Position, Title or Relationship: Owner Start Date: 3/7/2008 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: billing, payroll, taxes... All Back Office Operations

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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	0	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 - 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 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	KESTRA INVESTMENT SERVICES, LLC
<b>Allegations:</b>	Client did not recognize their e-signature on account documents. The time period of these allegations is from October 2020 to September 2023.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that the damages would be less than \$5,000.
<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>	09/13/2023
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied



**Status Date:** 10/06/2023

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** Client wet signed as well as e-signed paperwork for an account he opened and upon receiving the documents he did not recognize his electronically signed signature.

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Woodbury Financial Services, Inc.

**Allegations:** Customer alleges that alternative investments purchased in 2014-15 were misrepresented and unsuitable.

**Product Type:** Real Estate Security  
Other: Business Development Company; Closed-End Fund

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** Firm has made a good faith determination that the damages from the alleged conduct would be \$5,000 or more.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 06/10/2020

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/30/2020

**Settlement Amount:**


**Individual Contribution  
Amount:**


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<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Woodbury Financial Services Inc.
<b>Allegations:</b>	Customer alleges that alternative investments purchased in 2014-2015 were misrepresented and unsuitable.
<b>Product Type:</b>	Real Estate Security Other: Business Development Company
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Woodbury has made a good faith determination that the damages from the alleged conduct would be \$5,000 or more.
<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>	06/10/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	06/30/2020
<b>Settlement Amount:</b>	

**Individual Contribution  
Amount:**


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**Disclosure 3 of 3**

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SECURIAN FINANCIAL SERVICES, INC.



**Allegations:** ALLEGES THE VARIABLE LIFE POLICY PURCHASED IN OCTOBER 2003 WAS UNSUITABLE.

**Product Type:** Other

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

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:** 01/05/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/13/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** ALLEGATIONS REVIEWED BY MINNESOTA LIFE DID NOT REVEAL ANY BASIS FOR ALLEGATIONS. REQUEST FOR REFUND OF PREMIUM DENIED.

## End of Report



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