

BrokerCheck Report

MATTHEW THOMAS NADEAU

CRD# 4637541

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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.

MATTHEW T. NADEAU

CRD# 4637541

Currently employed by and registered with the following Firm(s):**IA KINGSWOOD WEALTH ADVISORS, LLC**

3500 Douglas Blvd
Suite 150
Roseville, CA 95661
CRD# 288792

Registered with this firm since: 01/10/2023

B KINGSWOOD CAPITAL PARTNERS, LLC

3500 Douglas Blvd.
Suite 150
Roseville, CA 95661
CRD# 288898

Registered with this firm since: 05/20/2021

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
- 18 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 RESURGENT FINANCIAL ADVISORS LLC**

CRD# 299575
ATLANTA, GA
02/2022 - 03/2023

IA HAYDEN ROYAL

CRD# 170037
CHARLOTTE, NC
04/2021 - 03/2022

IA LORD, ABBETT & CO. LLC

CRD# 110391
JERSEY CITY, NJ
05/2018 - 04/2021

**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	1



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

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**

Main Office Address: **11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127**

Firm CRD#: **288898**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/20/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	05/20/2021

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/31/2023
B	California	Agent	Approved	05/20/2021
B	Colorado	Agent	Approved	05/04/2023
B	District of Columbia	Agent	Approved	05/01/2025
B	Florida	Agent	Approved	05/20/2021
B	Georgia	Agent	Approved	11/09/2023
B	Hawaii	Agent	Approved	01/31/2025
B	Idaho	Agent	Approved	11/25/2025
B	Indiana	Agent	Approved	04/08/2024
B	Massachusetts	Agent	Approved	05/20/2021
B	Nevada	Agent	Approved	01/30/2025



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	08/04/2022
B	New York	Agent	Approved	04/03/2025
B	North Carolina	Agent	Approved	05/20/2021
B	Oregon	Agent	Approved	08/04/2022
B	Texas	Agent	Approved	01/31/2025
B	Virginia	Agent	Approved	05/20/2021
B	Washington	Agent	Approved	08/04/2022

Branch Office Locations

KINGSWOOD CAPITAL PARTNERS, LLC

3500 Douglas Blvd.
Suite 150
Roseville, CA 95661

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Office Address: **11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127**

Firm CRD#: **288792**

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	02/16/2023
IA	California	Investment Adviser Representative	Approved	01/10/2023
IA	Colorado	Investment Adviser Representative	Approved	05/04/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	11/13/2023
IA	Hawaii	Investment Adviser Representative	Approved	01/10/2023
IA	Indiana	Investment Adviser Representative	Approved	01/31/2025
IA	Massachusetts	Investment Adviser Representative	Approved	03/06/2024
IA	Nevada	Investment Adviser Representative	Approved	01/27/2023
IA	New Hampshire	Investment Adviser Representative	Approved	01/10/2023
IA	New York	Investment Adviser Representative	Approved	04/03/2025
IA	North Carolina	Investment Adviser Representative	Approved	03/02/2023
IA	Oregon	Investment Adviser Representative	Approved	02/12/2025
IA	Texas	Investment Adviser Representative	Approved	02/08/2024
IA	Virginia	Investment Adviser Representative	Approved	01/10/2023
IA	Washington	Investment Adviser Representative	Approved	01/10/2023

Branch Office Locations

11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

3500 Douglas Blvd
Suite 150
Roseville, CA 95661



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 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/11/2007
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/10/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/11/2009
B Uniform Securities Agent State Law Examination	Series 63	05/07/2003

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

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 02/2022 - 03/2023	RESURGENT FINANCIAL ADVISORS LLC	299575	Roseville, CA
IA 04/2021 - 03/2022	HAYDEN ROYAL	170037	Roseville, CA
IA 05/2018 - 04/2021	LORD, ABBETT & CO. LLC	110391	GRANITE BAY, CA
B 05/2018 - 04/2021	LORD ABBETT DISTRIBUTOR LLC	530	JERSEY CITY, NJ
B 01/2010 - 05/2018	WELLS FARGO FUNDS DISTRIBUTOR, LLC	133366	BOSTON, MA
IA 01/2010 - 05/2018	WELLS FARGO FUNDS MANAGEMENT, LLC	110841	SAN FRANCISCO, CA
IA 01/2010 - 01/2010	EVERGREEN INVESTMENT MANAGEMENT CO	104594	BOSTON, MA
B 03/2007 - 01/2010	EVERGREEN INVESTMENT SERVICES, INC.	487	BOSTON, MA
B 06/2003 - 05/2005	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	MILWAUKEE, WI

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
01/2023 - Present	Kingswood Wealth Advisors, LLC	Advisor	Y	San Diego, CA, United States
05/2021 - Present	Kingswood Capital Patners, LLC	Registered Representative	Y	San Diego, CA, United States
04/2021 - 01/2023	Hayden Royal	Wealth Manager	Y	Roseville, CA, United States
04/2018 - 04/2021	Lord Abbett	Regional Manager	Y	Jersey City, NJ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2010 - 03/2018	WELLS FARGO FUNDS DISTRIBUTOR, LLC	Mass Transfer	Y	SAN FRANCISCO, CA, United States
01/2010 - 03/2018	WELLS FARGO FUNDS MANAGEMENT, LLC	Mass Transfer	Y	SAN FRANCISCO, CA, 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) Boys and Girls Club of Placer County

- no
- 679 Lincoln Way Auburn, CA 95603
- 503C
- vice president / board member
- 10 hours per month
- none during trading hours
- 1/1/2018
- Board member responsibilities include planning, policy setting, trusteeship and fund raising.

2) Estate Planning Team

- not investment related
- 45110 Club Drive Indian Wells CA 92210
- estate planning
- none
- 3/30/2023
- 4 hours
- 0 hours
- estate planning team - represent and market the DST (deferred sales trust) through Sutter Wealth



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.
 -
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.
 -
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	1	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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	KINGSWOOD CAPITAL PARTNERS, LLC
Allegations:	-By engaging in the conduct described above, Respondent failed to act in the best interest of its client
Product Type:	Other: DST products
Alleged Damages:	\$150,000.00
Alleged Damages Amount Explanation (if amount not exact):	As well as an additional appropriate damage award that this Panel sees fit.
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 #:	25-02063
Filing date of arbitration/CFTC reparation or civil litigation:	09/29/2025



Customer Complaint Information

Date Complaint Received: 05/20/2026

Complaint Pending? No

Status: Settled

Status Date: 05/20/2026

Settlement Amount: \$180,000.00

Individual Contribution Amount: \$90,000.00

Broker Statement

Respondent denies the allegation that he failed to act in the client's best interest. At the time the recommendations were made, Respondent evaluated the client's financial circumstances, investment objectives, risk tolerance, liquidity needs, and tax considerations, and reasonably believed the recommendations were in the client's best interest based on the information available.

The client was provided with the applicable offering documents, and the material risks of the investments—including tenant, real estate, illiquidity, and loss of principal risks—were disclosed and discussed prior to investing.

The subsequent financial distress and bankruptcy of Inspired Health Care occurred after the recommendations were made and was not reasonably foreseeable based on the information available at the time. Respondent acted in good faith, exercised reasonable diligence, and made the recommendations based on the client's objectives and the facts known at the time.

End of Report



This page is intentionally left blank.