

BrokerCheck Report
Alexander Jones
 CRD# 5835712

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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.

Alexander Jones

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This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B LPL FINANCIAL LLC**
CRD# 6413
FRANKLIN, TN
03/2011 - 12/2020
- B FIRST TENNESSEE BROKERAGE, INC.**
CRD# 17117
NASHVILLE, TN
09/2010 - 03/2011

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
Regulatory Event	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/13/2012

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/02/2012
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/11/2010

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/09/2011
B Uniform Securities Agent State Law Examination	Series 63	09/23/2010

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 **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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
B 03/2011 - 12/2020	LPL FINANCIAL LLC	6413	FRANKLIN, TN
B 09/2010 - 03/2011	FIRST TENNESSEE BROKERAGE, INC.	17117	NASHVILLE, TN

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
07/2024 - Present	Kingswood Wealth Advisors	Investment Advisor	Y	Franklin, TN, United States
01/2022 - Present	Eudaimonia Partners, LLC	Financial Advisor	Y	Franklin, TN, United States
01/2019 - 12/2021	Guardian Wealth Solutions, Inc.	President & Chief Compliance Officer / Investment Adviser Representative	Y	FRANKLIN, TN, United States
06/2011 - 12/2021	GUARDIAN FINANCIAL	PRESIDENT	Y	FRANKLIN, TN, United States
03/2011 - 12/2020	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	FRANKLIN, TN, 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. 12/26/2017 - No Business Name - Investment Related - At Reported Business Location(s) - Notary - Started 09/16/2014 - 1 Hours Per Month During Securities Trading - Notary Public - Commission Expires 10/31/2021.

2. 12/10/2018 - Simplicity Life/Guardian Financial Group, Inc. - Not Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 11/16/2018 - 15 Hours Per Month/1 Hour During Securities Trading - Fixed insurance.

Registration and Employment History



Other Business Activities, continued

3. 3/12/2020 - Intrepid Management Inc/Guardian Management, LLC - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Owner and President - Started 02/28/2020 - 15 Hours Per Month/0 Hours During Securities Trading.

4. Aperio Path Software LLC- Not Investment Related - Address 554 Franklin Rd, Suite 105 Franklin TN 37069. (SaaS) Development of software for risk management and increasing enterprise value for business owners. - investor and minority owner - Alpha to start started November 2022. 10 hours per month / 0 hours during securities trading.

5. 09/15/2022 Guardian Tax Advisors LLC - Not Investment Related- At Reported Business Locations(s) - Firm to provide consulting on tax planning and tax strategies. Owner and officer - Started 10-2022 - 5 hours per month / 0 during trading hours.

6. 10-1-2022 Guardian Elite Services LLC - Not Investment Related - At reported Address - Firm to provide services to business owners in partnership with professional advisors. Owner and Officer - Started 11-1-2022. 5 hours per month / 0 hours during trading.

Notary Public,Is Not Investment Related,"554 Franklin Rd, Suite 105, Franklin, TN, 37069, United States",Notary,N/A,9/16/2014,1 hours per month,0 hours per month during trading hours,No Compensation Compensation,Notary public commission expires 02/07/2026

"Guardian Financial Group Inc, Guardian SWP",Is Not Investment Related,"554 Franklin Rd, Suite 105, Franklin, TN, 37069, United States",Independent Insurance Brokerage,Owner,11/16/2018,20 hours per month,5 hours per month during trading hours,Commission Compensation,Non variable insurance

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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/18/2020
Docket/Case Number:	TSD No.: 21-044
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/Guardian%20Wealth%20-%20Consent%20Order%20-%20Executed.pdf
Employing firm when activity occurred which led to the regulatory action:	Guardian Wealth Solutions, Inc.
Product Type:	No Product
Allegations:	The firm did not meet and maintain minimum net capital requirements for six (6) months. The firm's balance sheets inaccurately included assets of entities other than Guardian in its application for registration. The Respondents did not properly identify specific advisory fees in Guardian's agreement used for its two hundred seventeen (217) clients. The Respondents utilized an engagement letter for its financial planning clients that did not satisfy the forty-eight (48) hour rule. See Tenn. Comp. R. & Regs. 0780-04-03-.10(2)(a)(1.).



Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/23/2022

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$6,000.00

Portion Levied against individual: \$6,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Broker

Regulatory Action Initiated By: Tennessee Securities Division

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/18/2020

Docket/Case Number: TSD NO. 21-044

Employing firm when activity occurred which led to the regulatory action: GUARDIAN WEALTH SOLUTIONS, INC



Product Type:	No Product
Allegations:	THE FIRM DID NOT MAINTAIN MINIMUM NET CAPITAL REQUIREMENTS FOR 6 MONTHS WHEN ITS BALANCE SHEETS INCLUDED ASSETS OF GUARDIAN AFFILIATE COMPANIES IN ITS ASSETS. THE FIRM DID NOT IDENTIFY SPECIFIC ADVISORY FEES IN ITS CUSTOMER AGREEMENT. THE FIRM USED AN ENGAGEMENT LETTER FOR FINANCIAL PLANNING CLIENTS THAT DID NOT ALLOW FOR 48 HOURS TO REVIEW.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/23/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$6,000.00
Portion Levied against individual:	\$6,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/25/2022
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	On December 18, 2020, the Securities Division of the Tennessee Department of Commerce and Insurance ("Division") opened a routine compliance examination of Guardian Wealth Solutions, LLC ("Guardian"). The Division concluded that Guardian cooperated in the examination and promptly provided all of the documents and information sought by the Division during the course of the examination.



As a result of that audit, the Division concluded that Guardian did not meet and maintain minimum net capital requirements for certain months within a twenty-four month period. That lapse was the result of Guardian providing financial statements to the Division which reflected the assets in some cases of affiliates of Guardian and not assets exclusively contained in accounts held in Guardian's name. At the time that Guardian registered as an investment advisor with the Division, it was a newly formed entity and was in the process of opening accounts in its name with the assistance of an experienced legal and compliance firm. The financial statements Guardian provided to the Division accurately reflected the assets held by Guardian and its affiliates. Upon recognition of the issue, Guardian maintained net capital requirements in accounts held in its name without further lapse and demonstrated compliance with the net capital requirement since the Division first brought the matter to Guardian's attention.

The Division also concluded Guardian also did not adequately identify the specific advisory fees charged to clients in their client agreements. The client agreement was drafted by and subsequently reviewed by two separate legal and compliance firms prior to use. In addition, The Division reviewed the same client agreement in prior examinations and expressed no concerns at that time. Upon learning of the Division's concerns following this audit, Guardian immediately and voluntarily revised its client agreement and had each of Guardian's clients execute the revised agreement. None of Guardian's clients refused to execute the revised agreement or raised any concerns with the advisory fees charged. To Guardian's knowledge, none of its clients raised any concerns with the Division about the advisory fees or their disclosure by Guardian.

Finally, the Division concluded that Guardian utilized an engagement letter for its financial planning clients that did not satisfy the forty-eight (48) hour rule. Guardian has taken corrective action to ensure it will satisfy the 48 hour-rule going forward.

End of Report



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