BrokerCheck Report

ASHLEY JO WEBB

CRD# 6609117

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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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.

ASHLEY J. WEBB

CRD# 6609117

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

IA **KINGSWOOD WEALTH ADVISORS, LLC**
Griffin, GA
CRD# 288792
Registered with this firm since: 01/20/2021

B **KINGSWOOD CAPITAL PARTNERS, LLC**
126 E 56 st
Suite 301
New York, NY 10022
CRD# 288898
Registered with this firm since: 01/19/2021

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
- 2 U.S. states and territories

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 **EF HUTTON LLC**
CRD# 103792
NEW YORK, NY
10/2019 - 02/2024

IA **BENCHMARK ADVISORY SERVICES, LLC**
CRD# 305662
SAN DIEGO, CA
11/2019 - 12/2022

B **AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**
CRD# 7388
MCDONOUGH, GA
08/2018 - 11/2019

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 2 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 Principal	Approved	01/19/2021
B	FINRA	General Securities Representative	Approved	01/19/2021
B	FINRA	Municipal Securities Principal	Approved	01/11/2022
B	FINRA	Municipal Securities Representative	Approved	01/11/2022

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	01/19/2021
B	Idaho	Agent	Approved	11/26/2025

Branch Office Locations

KINGSWOOD CAPITAL PARTNERS, LLC
126 E 56 st
Suite 301
New York, NY 10022

Employment 2 of 2

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

Main Office Address: **11440 W. BERNARDO COURT**

Broker Qualifications

Employment 2 of 2, continued

SUITE 300
SAN DIEGO, CA 92127

Firm CRD#: **288792**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	01/20/2021

Branch Office Locations

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

Griffin, GA

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	Municipal Securities Principal Examination	Series 53	01/24/2020
B	General Securities Principal Examination	Series 24	07/26/2019

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Municipal Securities Representative Examination	Series 52TO	01/11/2022
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	08/02/2018

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	01/18/2019

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.

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
B	10/2019 - 02/2024	EF HUTTON LLC	103792	NEW YORK, NY
IA	11/2019 - 12/2022	BENCHMARK ADVISORY SERVICES, LLC	305662	Stockbridge, GA
B	08/2018 - 11/2019	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	7388	MCDONOUGH, GA
B	02/2016 - 07/2017	AMERICAS EXECUTIONS, LLC	140345	NEW YORK, NY

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
01/2021 - Present	Kingswood Wealth Advisors, LLC	Registered Principle	Y	San Diego, CA, United States
05/2020 - Present	Kingswood Capital Partners, LLC	Registered Principle	Y	San Diego, CA, United States
10/2019 - Present	BENCHMARK INVESTMENTS, INC	REGISTERED PRINCIPAL	Y	MCDONOUGH, GA, United States
09/2017 - 10/2019	AMERICAN GLOBAL WEALTH MANAGEMENT	OPERATIONS	Y	MCDONOUGH, GA, United States
09/2017 - 10/2019	Cape Securities, Inc.	Operations	Y	McDonough, GA, United States
02/2016 - 07/2017	Americas Executions, LLC	Administrative Assistant	Y	New York, NY, 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.

Registration and Employment History

Other Business Activities, continued

1) Kingswood Group US
- Yes investment related
- 175 Country Club Dr Blgd 400 Suite D, Stockbridge, GA 30281
- Holding company for BD and RIA's
- Manager of Onboarding
- 8/20/2020
- 160hrs/mo
- 160/hrs/mo during trading hrs
- Onboard new registered reps and personnel
2) Compliers Consulting Services, LLC.
- yes investment related
- 1801 Abbey Rd, Griffin, GA 30223
- Consulting
- Bookkeeper & consulting
- 9/1/2021
- 10hrs/mo
- 0/hrs/mo during trading hrs
- Managing accounts payable and receivable, general consulting assistance
3) Monta Vista Holdings LLC,Is Not Investment Related,,DBA,Owner,2022-01-01,20 hours per month,0 hours per month during trading hours,Other Compensation,DBA where consulting funds are paid into
4) A Friend's House,Is Not Investment Related,"111 Henry Parkway, , McDonough, GA, 30253, United States",Board of Directors,Board Member,6/1/2023,1 hours per month,0 hours per month during trading hours,No Compensation Compensation,I am a member of the board for A Friend's House which is a local non-profit group home for minors in the system
5)SGES, no, varsity girls soccer coach, 01/2026, 35hrs/mo, 5hrs/mo during trading, salary, coach varsity girls soccer team

6) Saint George Episcopal School,Is Not Investment Related,"103 Birch Street, , Milner, GA, 30257, United States",Soccer Coach,Varsity Soccer Coach,1/26/2026,35 hours per month,5 hours per month during trading hours,Salary Compensation,I am paid a flat fee to coach high school girls varsity soccer

End of Report

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