Kingswood Wealth Advisors, LLC

Form ADV Part 2B Individual Disclosure Brochure

For

<Advisor Name Here>

CRD#XXXXXX

Investment Adviser Representative

<Address>

Phone: <Phone Number>

Effective: <Date>

Kingswood Wealth Advisors

11440 W. Bernardo CT, Suite 300

San Diego, CA 92127

Phone: (800) 535-6981

Fax: (800) 913-5984

This Brochure Supplement provides information about the background and qualifications of <Advisor Name> in addition to the information contained in the Kingswood Wealth Advisors (“KWA” or the “Advisor” CRD #288792) Disclosure Brochure. If you have not received a copy of this Brochure Supplement or if you any questions about the contents of this Brochure Supplement or KWA’s Disclosure Brochure, please contact us at (800) 535-6981.

Additional information about <Advisor Name> is available on the SEC’s Investment Adviser Public Disclosure website at [www.](http://www/) adviserinfo.sec.gov.

# Item 2 – Educational Background and Business Experience

<Name> was born in <year>.

Education:

* <enter here>

Business Background:

* <enter here>

# Item 3 – Disciplinary Information

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices.

<Name> has never been involved in any regulatory, civil or criminal action. In addition, there have been no lawsuits, arbitration claims or administrative proceedings against <Name>.

We do encourage you to independently review the background of <name> on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov.](http://www.adviserinfo.sec.gov/)

# Item 4 – Other Business Activities

In addition to her role with Kingswood Wealth Advisors, LLC. (“KWA”), <name> is involved in the following activities:

<enter OBA(s)>

# Item 5 – Additional Compensation

<Name> receives compensation for the outside business activities as disclosed above in Item 4.

<Name> does not receive any “economic benefit” as that term is defined (e.g. sales awards and other prizes) from a non-

client for providing advisory services.

# Item 6 – Supervision

KWA is subject to regulatory oversight by various agencies. These agencies require registration by KWA and its employees. As a registered entity, KWA is subject to examinations by regulators, which may be announced or unannounced. KWA is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

KWA has implemented a Code of Ethics and internal compliance that guide each employee in meeting their fiduciary

obligations to Clients of KWA.

Mike Alsoraimi, Supervisor, and other Compliance staff of KWA monitor the investment advisory activities and adherence to the Advisor’s Compliance Program and Code of Ethics of KWA’s supervised persons. These activities are monitored on a continuous basis using various methods, including periodic inspection and review of client securities positions and transaction activity, obtaining attestations of compliance with company policies and procedures from those supervised, and review of other information pertaining to supervised persons’ activities. Mr. Alsoraimi can be reached at 800-535-6981 or via [malsor](mailto:malsoraimi@Kingswoodus.com)[aimi@Kingswoodus.com.](mailto:aimi@Kingswoodus.com)