



# KINGSWOOD

PROTECT AND GROW YOUR WEALTH



## Kingswood Investments Hits the Ground Running

We hope you've seen the recent announcements about Kingswood Investments, a division of Kingswood Capital Partners LLC. The team has already acted as Sole Bookrunner for the MIRA Pharmaceuticals IPO (and helped ring the bell at NASDAQ!), and has been strengthening its capabilities by strategically growing the team with the addition of Kevin Ernst. Adding Kingswood Investments to our existing investment banking team in Boca Raton and our SPAC Advisory team allows Kingswood to deliver one of the most comprehensive investment banking offerings in the industry. Want to learn more

? Please contact Eddie Kazatsky ([ekazatsky@kingswoodus.com](mailto:ekazatsky@kingswoodus.com))



Ed Tsuker  
Chief Executive Officer  
Kingswood Investments



Ariel Imas  
President  
Kingswood Investments



Kevin Ernst  
Managing Director  
Kingswood Investments



## Compliance Update: Continuing Education

Continuing Education season is upon us, and we have begun with the roll out of state required IAR CE. As previously discussed, several states have required third party CE to be completed annually which will be completed through our vendor Quest CE. If you are required to complete this CE we have assigned courses and you will receive a welcome email for IAR CE. If you do not receive a welcome email, then this CE is not required for you.

We are also reminding registered representatives that FINRA CE must be completed through the FinPro system annually. Please download the Compliance Update for more information and a summary of the changes to the FINRA CE program. Questions? Please email Mike Alsoraimi at [malsoraimi@kingswoodus.com](mailto:malsoraimi@kingswoodus.com).

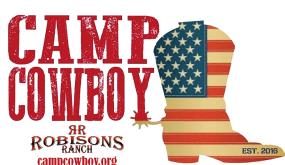
Click here to download the  
August Compliance Update

## Updated Approved Product List Available

An updated approved alternative investment product list is available on the Alternative Investment page of our advisor resource website, [WelcometoKingswood.com](http://WelcometoKingswood.com). As a reminder, questions related to the Alternative Investment and Covered Security platforms must now be directed to [products@kingswoodus.com](mailto:products@kingswoodus.com).

- Altigo Questions
- Approved Programs
- New Program/Sponsor requests
- Commissions
- AI Insight
- 1031 Exchanges, DST's and OZ Funds
- Covered Securities and Interval Funds

## New Philanthropic Partner: Camp Cowboy



Kingswood is proud to support [Camp Cowboy](http://CampCowboy.org) an organization firmly focused on pursuing wellness and balance for military families. They believe that - through equine based experience, education, and knowledge - a vast multitude of "life's scars" can be overcome, allowing for a reconnected, well-balanced life change for those in need. To learn more or to make a donation, please contact Ryan Sabet ([rsabet@kingswoodus.com](mailto:rsabet@kingswoodus.com))

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## Podcast: From Shiny Objects to Solid Strategies With Mike Nakanishi



Kingswood U.S. advisor Mike Nakanishi was recently interviewed about his influences, the challenges faced by investors, and his unwavering passion for helping clients succeed in their financial endeavors. You can listen to the podcast [here](#).

Want to share your story with a broader audience? Be a guest on *Kingswood Advisor Voices*. Contact Rifton Westby at [rwestby@kingswoodus.com](mailto:rwestby@kingswoodus.com) to learn more.

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## Kingswood in the News

Keep up with the latest from Kingswood U.S. by visiting our [website](#) or following us on [LinkedIn](#) and [Twitter](#).

Here are a few links to our recent coverage:

- [Kingswood U.S. Announces Enhanced, Full Service In-House Investment Banking Capabilities](#) - via Cision/PR Newswire
- [Kingswood Appoints Veterans To Lead Investment Banking Division, Plans To Grow Division And Provide Synergies To Advisors](#) - via Wealth Solutions Report
- [Kingswood U.S. Expands Investment Banking And Capital Markets Capabilities](#) - via FA Mag
- [Kingswood U.S. Continues Strategic Expansion of In-House Investment Banking Group](#) - via Cision/PR Newswire
- [Should You Tell Your Kids How Much They'll Inherit](#) - via InvestmentNews

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## Contact Your Concierge Team Today!

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As always, please reach out if you have questions or if we can be of service

to

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