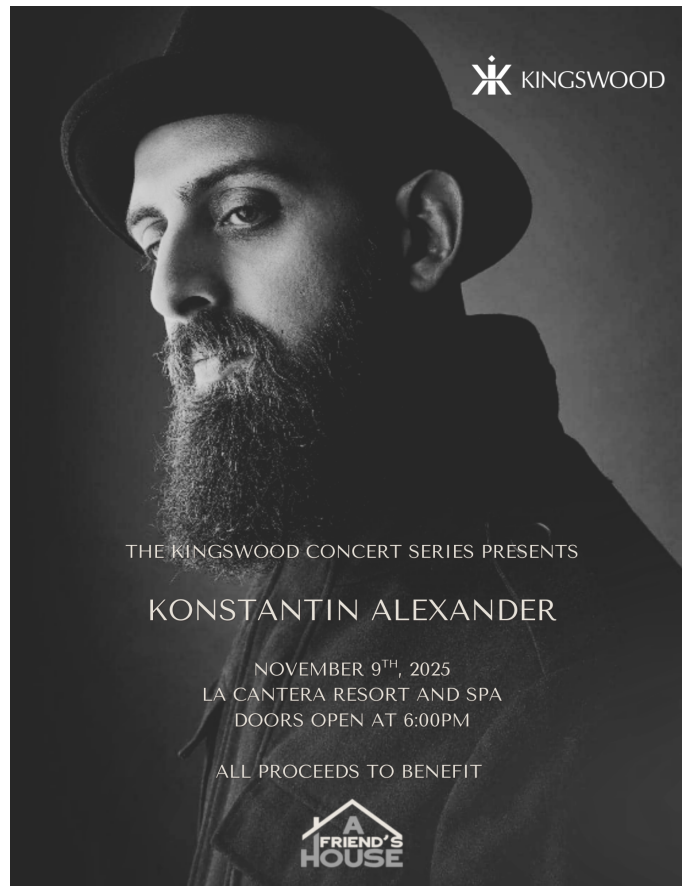




Kingswood Conference Series - San Antonio Features 2nd Annual Concert Benefitting A Friend's House



Plans continue to come together for the Kingswood Conference Series - San Antonio, November 9-12 at the La Cantera Resort. We are thrilled to announce our second annual Kingswood Concert Series opening night event, featuring Austin recording artist Konstantin Alexander. Proceeds will again benefit A Friend's House.

Any advisors who plan to attend the conference but have not yet sent in their flight information, please email Ashley Webb (awebb@kingswoodus.com) at your earliest opportunity.

Advisors: Welcome New Advisors!



Jimmy Milliron



Jason Russell

Please join us in welcoming the following advisors to the Kingswood U.S. Family!

- James (Jimmy) Milliron
 - Jason Russell
-

Events: ArcStone-Kingswood Growth Summit Was a Success



The ArcStone-Kingswood Growth Summit 2025 was held on September 18th in Toronto & offered growing companies a chance to explore listings on prominent US and Canadian exchanges. The jam-packed day was filled with connections and conversation, and provided a unique opportunity for companies to meet investors eager to deploy capital in promising growth opportunities.

Team Members: Kingswood Welcomes Two New Operations Associates



Joanna Jackson



Maria Light

The Kingswood team continues to grow! We are pleased to welcome two new operations associates to better support our advisors and their businesses.

- Joanna Jackson is based in our San Diego office.
- Maria Light is based in our Manhattan office.

Investment Banking

Kingswood was proud to serve as sole bookrunner on three deals this month. Congratulations to Kingswood clients GSR IV Acquisition Corporation (Nasdaq: GSRF), Hang Feng Technology Innovation Company (Nasdaq: FOFO), and Platinum Analytics Cayman, LTD (Nasdaq: PLTS) on their IPOs!



Transaction Announcement

GSR IV Acquisition Corp.

\$230,000,000

Lead Bookrunner

SEPTEMBER 2025

Initial Public Offering

Kingswood acted as the Lead Bookrunner to **GSR IV Acquisition Corp.** on its Initial Public Offering (Nasdaq:GSRF)

This communication is for informational purposes only. It is not intended as an offer or solicitation for the purchase or sale of any financial instrument or as an official confirmation of any transaction. All market prices, data, and other information are not guaranteed as to completeness or accuracy and are subject to change without notice. For more important disclosures visit Kingswood.com



Transaction Announcement

 **HFintech**

\$6,325,000

Sole Bookrunner

SEPTEMBER 2025

Initial Public Offering

Kingswood acted as the Sole Bookrunner to **Hang Feng Technology Innovation** on its **Initial Public Offering** (NASDAQ:FOFO)

This communication is for informational purposes only. It is not intended as an offer or solicitation for the purchase or sale of any financial instrument or as an official confirmation of any transaction. All market prices, data, and other information are not guaranteed as to completeness or accuracy and are subject to change without notice. For more important disclosures visit Kingswood.com



Please visit the Investment Banking Transactions page on KingswoodUS.com for a complete list of deals we've been a part of.

CIO Corner

Kingswood CIO Scott Poore, AIF®, AWMA®, APMA® writes two blogs a week - a Monday Market Recap and Friday Market Musings.

- 9/26/2025 – The Heat Is On
 - 9/22/2025 – The Fed Delivers
-

Equity Research

Our research team initiated coverage on the following companies with Buy Ratings this month:

- AEye, Inc. (Nasdaq: LIDR), a developer of software-definable Light Detection and Ranging (LiDAR) technology built on its proprietary 4Sight™ Intelligent Sensing Platform, enabling high-quality range, resolution, and configurability for automotive and non-automotive markets.
- Quantum Biopharma (Nasdaq: QNTM), a global biotechnology company committed to developing breakthrough medicines for neurodegenerative, neuropsychiatric, and metabolic diseases.

Additionally, the team updated their coverage on the following companies: Pearl Diver Credit Company (Nasdaq: PDCC)

Kingswood Advisors can access these reports via the Kingswood Advisor Resource Center. If you are not a Kingswood Advisor and are interested in receiving a report, please contact Ryan Sabet (rsabet@kingswoodus.com).

If you are interested in learning about how the Kingswood Equity Research Team can cover your company, please email research@kingswoodus.com.

This communication is for informational purposes only. It is not intended as an offer or solicitation for the purchase or sale of any financial instrument or as an official confirmation of any transaction. All market prices, data, and other information are not guaranteed as to completeness or accuracy and are subject to change without notice. For more important disclosures visit kingswoodus.com

Copyright © 2025 Kingswood U.S. All rights reserved.

Keep up with the latest from Kingswood U.S. by visiting kingswoodus.com or following us on LinkedIn.