



## IAPD Report

# RALPH ANTOLINO JR

CRD# 1007885

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### RALPH ANTOLINO JR (CRD# 1007885)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/18/2025**.

### CURRENT EMPLOYERS

|           | Firm                            | CRD#        | Registered Since |
|-----------|---------------------------------|-------------|------------------|
| <b>IA</b> | ANTOLINO WEALTH ADVISORS        | CRD# 119829 | 03/24/2006       |
| <b>B</b>  | KESTRA INVESTMENT SERVICES, LLC | CRD# 42046  | 04/28/2006       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

|           | FIRM                            | CRD#   | LOCATION       | REGISTRATION DATES      |
|-----------|---------------------------------|--------|----------------|-------------------------|
| <b>B</b>  | WALNUT STREET SECURITIES, INC.  | 15840  | COLUMBUS, OH   | 11/22/1994 - 05/11/2006 |
| <b>IA</b> | ANTOLINO AND ASSOCIATES, INC.   | 119829 | COLUMBUS, OH   | 10/18/1999 - 12/31/2005 |
| <b>B</b>  | ROYAL ALLIANCE ASSOCIATES, INC. | 23131  | SCOTTSDALE, AZ | 11/19/1989 - 11/23/1994 |

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type             | Count |
|------------------|-------|
| Customer Dispute | 1     |



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **31** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**  
Main Address: 5707 SOUTHWEST PARKWAY  
BUILDING 2, SUITE 400  
AUSTIN, TX 78735  
Firm ID#: 42046

| Regulator                     | Registration                      | Status   | Date       |
|-------------------------------|-----------------------------------|----------|------------|
| <b>B</b> FINRA                | General Securities Principal      | Approved | 04/28/2006 |
| <b>B</b> FINRA                | General Securities Representative | Approved | 04/28/2006 |
| <b>B</b> Alabama              | Agent                             | Approved | 04/28/2006 |
| <b>B</b> Arizona              | Agent                             | Approved | 04/28/2006 |
| <b>B</b> California           | Agent                             | Approved | 04/28/2006 |
| <b>B</b> Colorado             | Agent                             | Approved | 07/12/2006 |
| <b>B</b> Delaware             | Agent                             | Approved | 10/31/2024 |
| <b>B</b> District of Columbia | Agent                             | Approved | 10/31/2024 |
| <b>B</b> Florida              | Agent                             | Approved | 04/28/2006 |
| <b>B</b> Georgia              | Agent                             | Approved | 04/28/2006 |
| <b>B</b> Idaho                | Agent                             | Approved | 10/27/2023 |
| <b>B</b> Illinois             | Agent                             | Approved | 04/28/2006 |
| <b>B</b> Indiana              | Agent                             | Approved | 04/28/2006 |



### Qualifications

| Regulator               | Registration | Status   | Date       |
|-------------------------|--------------|----------|------------|
| <b>B</b> Kentucky       | Agent        | Approved | 12/14/2016 |
| <b>B</b> Louisiana      | Agent        | Approved | 12/14/2016 |
| <b>B</b> Maryland       | Agent        | Approved | 07/12/2006 |
| <b>B</b> Massachusetts  | Agent        | Approved | 10/31/2024 |
| <b>B</b> Minnesota      | Agent        | Approved | 05/29/2013 |
| <b>B</b> Mississippi    | Agent        | Approved | 04/28/2006 |
| <b>B</b> Missouri       | Agent        | Approved | 08/11/2015 |
| <b>B</b> Nevada         | Agent        | Approved | 06/22/2021 |
| <b>B</b> New Jersey     | Agent        | Approved | 10/31/2024 |
| <b>B</b> New York       | Agent        | Approved | 04/28/2006 |
| <b>B</b> North Carolina | Agent        | Approved | 04/28/2006 |
| <b>B</b> Ohio           | Agent        | Approved | 04/28/2006 |
| <b>B</b> Oregon         | Agent        | Approved | 07/24/2006 |
| <b>B</b> Pennsylvania   | Agent        | Approved | 04/28/2006 |
| <b>B</b> South Carolina | Agent        | Approved | 06/04/2012 |
| <b>B</b> Tennessee      | Agent        | Approved | 04/28/2006 |
| <b>B</b> Texas          | Agent        | Approved | 04/28/2006 |
| <b>B</b> Vermont        | Agent        | Approved | 01/03/2011 |
| <b>B</b> Virgin Islands | Agent        | Approved | 11/30/2007 |



### Qualifications

| Regulator              | Registration | Status   | Date       |
|------------------------|--------------|----------|------------|
| <b>B</b> West Virginia | Agent        | Approved | 12/14/2016 |

### Branch Office Locations

**NFP ADVISOR SERVICES, LLC**  
 150 E. BROAD ST  
 SUITE 100  
 COLUMBUS, OH 43215

**NFP ADVISOR SERVICES, LLC**  
 Key Largo, FL

### Employment 2 of 2

Firm Name: **ANTOLINO WEALTH ADVISORS**  
 Main Address: 150 E. BROAD ST.  
 SUITE 100  
 COLUMBUS, OH 43215  
 Firm ID#: 119829

| Regulator           | Registration                      | Status              | Date       |
|---------------------|-----------------------------------|---------------------|------------|
| <b>IA</b> Florida   | Investment Adviser Representative | Approved            | 12/21/2023 |
| <b>IA</b> Louisiana | Investment Adviser Representative | Approved            | 03/27/2018 |
| <b>IA</b> Ohio      | Investment Adviser Representative | Approved            | 03/24/2006 |
| <b>IA</b> Texas     | Investment Adviser Representative | Restricted Approval | 07/16/2018 |

### Branch Office Locations

**ANTOLINO WEALTH ADVISORS**  
 150 E. BROAD ST.  
 SUITE 100  
 COLUMBUS, OH 43215



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| General Securities Principal Examination (S24) | Series 24 | 11/07/1989 |

#### General Industry/Product Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Securities Industry Essentials Examination (SIE)                               | SIE       | 10/01/2018 |
| General Securities Representative Examination (S7)                             | Series 7  | 10/18/1986 |
| Direct Participation Programs Representative Examination (S22)                 | Series 22 | 10/05/1984 |
| Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6  | 12/07/1981 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/02/1987 |

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

|    | Registration Dates      | Firm Name                               | ID#         | Branch Location |
|----|-------------------------|---|-------------|-----------------|
| B  | 11/22/1994 - 05/11/2006 | WALNUT STREET SECURITIES, INC.          | CRD# 15840  | COLUMBUS, OH    |
| IA | 10/18/1999 - 12/31/2005 | ANTOLINO AND ASSOCIATES, INC.           | CRD# 119829 | COLUMBUS, OH    |
| B  | 11/19/1989 - 11/23/1994 | ROYAL ALLIANCE ASSOCIATES, INC.         | CRD# 23131  | SCOTTSDALE, AZ  |
| B  | 10/08/1986 - 11/19/1989 | INTEGRATED RESOURCES EQUITY CORPORATION | CRD# 6403   |                 |
| B  | 10/08/1984 - 11/04/1986 | DESANTIS SECURITIES COMPANY             | CRD# 11398  |                 |

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

| Employment Dates  | Employer Name                    | Position                               | Investment Related | Employer Location           |
|-------------------|----------------------------------|--|--------------------|-----------------------------|
| 04/2016 - Present | KESTRA INVESTMENT SERVICES, LLC. | REGISTERED REPRESENTATIVE              | Y                  | COLUMBUS, OH, United States |
| 07/1987 - Present | LINO PROPERTIES                  | OTHER - RENTAL REAT ESTATE OWNERSHIP/M | N                  | COLS, OH, United States     |
| 07/1975 - Present | ANTOLINO & ASSOCIATES, INC.      | PRESIDENT                              | N                  | COLS, OH, United States     |

#### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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: FFR - First Financial Resources Invest Rel: Y NOB: Insurance Title: member Strt Date: 1/1/14 Hrs/mth: 0-16 Duties: complete apps for clients, comply w/the requirements of the life ins companies
- 2: AFC 2019 Reserve, LLC Invest Rel: Y NOB: separating financial assets into new entity Title: Managing member Strt Date: 9/16/19 Hrs/mth: 0-16 Duties: oversee investment of the funds along w/my partners
- 3: Blue Water, LLC DBA Blue Water Management & Beach Music Villa Invest Rel: N NOB: Consulting; Real Estate Title: manager Strt Date: 7/1/16 Hrs/mth: 0-16 Duties: oversee &consult operations &investments of f7 & rental property
- 4: AA Financial Advisors, LLC Invest Rel: Y NOB: Investment Advisory srvc thru an independent outside RIA Title: Owner Strt Date: 4/19/82 Hrs/mth: 97-112 Duties: To manage business for the benefit of all constituents
- 5: Antolino & Associates, Inc. Invest Rel: N NOB: Insurance Title: Owner, president Strt Date: 4/16/75 Hrs/mth: 65 80 Duties: Manage &operate the business for benefit of customers, employees &myself



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

- 6: SKYBOX 2012, LLC Invest Rel: Y NOB: Real Estate Title: manager Strt Date: 10/28/13 Hrs/mth: 0-16 Duties: do whatever we think is necessary & reasonable to take care of the unit
- 7: The Carmella Foundation, Inc. Invest Rel: N NOB: Civic Title: Director/Other, charitable entity Strt Date: 12/30/14 Hrs/mth: 0-16 Duties: Work w/my wife to develop & run the org w/the assistance of our law firm, Lilly & Becker ADR: 150 E. Broad Street #150, Columbus OH 43215
- 8: Flying Marlin Investmens, LLC Invest Rel: Y NOB: Real Estate Title: Other, Manager Strt Date: 3/18/13 Hrs/mth: 0-16 Duties: owner/manager
- 9: F7 Company, LLC Invest Rel: N NOB: see q 3.50 Title: managers Strt Date: 8/28/13 Hrs/mth: 0-16 Duties: General mngmnt
- 10: CLA Investments, LLC Invest Rel: N NOB: a family trust owned entity that holds investments for the benefit of our family that direct Title: Manager Strt Date: 8/28/13 Hrs/mth: 0-16 Duties: general oversight of securities account for F7 ADDR: 5000 Estate Enighed # 482, St. John VI 00830
- 11: Banner Metal Group Invest Rel: N NOB: manufacturer Title: BOD Strt Date: 1/1/04 Hrs/mth: 0-16 Duties: Attend four board mtngs/yr & vote on board level decisions
- 12: Flying Marlin, LLC Invest Rel: Y NOB: Real Estate Title: Owner Strt Date: 4/1/03 Hrs/mth: 0-16 Duties: Oversee mngmnt of proprty
- 13: Ralph Antolino, Jr. Attorney at Law Invest Rel: N NOB: Legal/Fiduciary Title: Sole Proprietor Strt Date: 11/1/80 Hrs/mth: 0-16 Duties: do the work as needed
- 14: Ralph Antolino, Jr. Public Speaking Invest Rel: Y NOB: none of the above Title: Owner Strt Date: 4/19/75 Hrs/mth: 0-16 Duties: see above
- 15: RALPH ANTOLINO, JR. - Independent Author Invest Rel: N NOB: Back Office Operations Title: author/speaker Strt Date: 4/19/97 Hrs/mth: 0-16 Duties: to talk & oversee modest sales of books ADDR: 150 E. Broad Street, Columbus OH 43215
- 16: Lino Properties Invest Rel: Y NOB: Real Estate Title: Partner Strt Date: 4/19/84 Hrs/mth: 0-16 Duties: financial decisions & mngmnt. Oversee tax prep. Invest capital in new ventures
- 17: CEI, Inc Invest Rel: N NOB: small manufacturer Title: Investor Strt Date: 5/15/20 Hrs/mth: 0-16 Duties: write a check
- 18: Riverside Bank of Dubmin Invest Rel: Y NOB: BOD Title: BOD Strt Date: 11/19/20 Hrs/mth: 0-16 Duties: mngt of bank
- 19: Finances Simplified, LLC Invest Rel: NOB: BOD Title: Introducing clients Strt Date: 8/1/21 Hrs/mth: 0-16 Duties: Marketing
- 20: VIORC, LLC POSITION: Managing Member NATURE: Real Estate INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2023 ADDRESS: 131 Beach Rd, # 104, Key Largo FL 33037, United States DESCRIPTION: Collect funds and pay bills



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

| Type             | Count |
|------------------|-------|
| Customer Dispute | 1     |

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 1

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Individual  |
| <b>Employing firm when activities occurred which led to the complaint:</b> | NFP SECURITIES INC.   |
| <b>Allegations:</b>  | CLIENT ALLEGED THEY WERE NEVER INFORMED THERE WOULD BE A 1% CDSC IF THEY WERE TO REDEEM THEIR MUTUAL FUNDS WITHIN ONE YEAR OF PURCHASE. |
| <b>Product Type:</b>   | Mutual Fund(s)  |
| <b>Alleged Damages:</b>  | \$9,725.00  |

### Customer Complaint Information

|  |                  |
|--|------------------|
| <b>Date Complaint Received:</b>        | 11/12/2007       |
| <b>Complaint Pending?</b>              | No               |
| <b>Status:</b>                         | Closed/No Action |
| <b>Status Date:</b>                    | 11/30/2007       |
| <b>Settlement Amount:</b>              |                  |
| <b>Individual Contribution Amount:</b> |                  |



## End of Report

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