



IAPD Report

ROLLIN GILBERT SCHUSTER JR

CRD# 1211403

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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.



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

ROLLIN GILBERT SCHUSTER JR (CRD# 1211403)

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 **09/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	06/06/2006
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/18/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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
IA	NFP ADVISOR SERVICES, LLC	42046	FARMINGTON, CT	05/11/2010 - 09/22/2016
B	MML INVESTORS SERVICES, INC.	10409	FARMINGTON, CT	03/01/1996 - 06/09/2006
B	G. R. PHELPS & CO., INC.	173	FARMINGTON, CT	07/23/1987 - 03/01/1996

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
Criminal	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 13 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 FINRA	Corporate Securities Represent	Approved	06/06/2006
B FINRA	Direct Participation Programs	Approved	06/06/2006
B FINRA	Invest. Co and Variable Contracts	Approved	06/06/2006
B FINRA	Investment Co./Variable Contracts Prin	Approved	06/06/2006
B FINRA	Municipal Securities Representative	Approved	06/06/2006
B Arizona	Agent	Approved	07/08/2009
B California	Agent	Approved	03/01/2007
B Connecticut	Agent	Approved	06/06/2006
B Florida	Agent	Approved	07/14/2017
B Maryland	Agent	Approved	02/18/2022
B Massachusetts	Agent	Approved	06/06/2006
B New Hampshire	Agent	Approved	09/14/2006
B New Jersey	Agent	Approved	01/10/2007



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	06/06/2006
B North Carolina	Agent	Approved	11/06/2017
B Pennsylvania	Agent	Approved	08/04/2010
B Rhode Island	Agent	Approved	03/18/2008
B Texas	Agent	Approved	11/27/2017

Branch Office Locations

NFP ADVISOR SERVICES, LLC

29 South Main Street
Suite 300
West Hartford, CT 06107

Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 283330

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	04/18/2016

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC

29 South Main Street
Suite 300
West Hartford, CT 06107




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, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/04/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Municipal Securities Representative Examination (S52)	Series 52	04/29/1991
 Corporate Securities Limited Representative Examination (S62)	Series 62	09/07/1990
 Direct Participation Programs Representative Examination (S22)	Series 22	04/27/1988
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/05/1984

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/10/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/13/1984

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
IA	05/11/2010 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	FARMINGTON, CT
B	03/01/1996 - 06/09/2006	MML INVESTORS SERVICES, INC.	CRD# 10409	FARMINGTON, CT
B	07/23/1987 - 03/01/1996	G. R. PHELPS & CO., INC.	CRD# 173	
B	07/21/1994 - 12/31/1994	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT
B	12/09/1985 - 07/31/1987	TRAVELERS EQUITIES SALES, INC.	CRD# 833	
B	01/26/1984 - 11/19/1985	MML INVESTORS SERVICES, INC.	CRD# 10409	
B	01/06/1984 - 11/18/1985	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY	CRD# 2682	

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 ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FARMINGTON, CT, United States
06/2006 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	FARMINGTON, CT, United States
01/1992 - Present	SCHUSTER DRISCOLL & COMPANY	OWNER	Y	FARMINGTON, CT, United States
05/1987 - Present	CONNECTICUT MUTUAL LIFE INS. COMPANY	AGENT - Agent	N	HARTFORD, CT, United States
09/1985 - Present	TRAVELERS	AGENT - AGENT	N	HARTFORD, CT, United States



Registration & Employment History



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) Schuster Driscoll, LLC Investment Related: Yes Address: 135 South Road Farmington CT 06032 Nature of Business: Insurance; Investment Advisory (RIA, IAR, Financial Planning, etc.) Position, Title or Relationship: Owner Start Date: 1/1/1990 Hours/ month: 100%+ Hours/ month during trading hours: 91% - 100% (127 - 140 hours) Duties: Manage business/ client relationships
- 2) The Alliance for Non Profit Growth and Opportunities, Inc Investment Related: No Address: 135 South Rd Farmington CT 06032 Nature of Business: Community/Charitable/Civic Position, Title or Relationship: President Start Date: 6/23/2008 Hours per month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: Manage organization
- 3) Schuster Driscoll LLC dba The Schuster Group Investment Related: Yes Address: 135 South Road Farmington CT 06032 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance Position, Title or Relationship: sole member; owner; president Start Date: 1/1/2016 Hours/ month: 100%+ Hours per month during trading hours: 71% - 80% (99 - 112 hours) Duties: Run business, sales
- 4) Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Investment Advisor Representative Start Date: 4/4/2016 Hours/ month: Up to 100% Hours/ month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory
- 5) QUALIDIGM Investment Related: No Address: 1290 SILAS DEANE HIGHWAY WETHERSFIELD CT 06109 Nature of Business: Board Position Position, Title or Relationship: BOARD MEMBER Start Date: 1/1/2016 Hours/ month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: BOARD MEMBER
- 6) CW RESOURCES INC. Investment Related: No Address: 227 MYRTLE STREET NEW BRITAIN CT 06031 Nature of Business: Board Position Position, Title or Relationship: BOARD MEMBER Start Date: 9/1/2013 Hours/ month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: TREASURER
- 7) Cross Current Insurance Group, LLC Investment Related: No Address: 135 South Road Farmington CT 06032 Nature of Business: Insurance Position, Title or Relationship: Member Start Date: 11/1/2018 Hours/ month: 11% - 20% (17 - 32 hours) Hours/ month during trading hours: 21% - 30% (29 - 42 hours) Duties: Sales and marketing
- 8) NFP Investment Related: Yes Address: 340 Madison Ave New York NY 10173 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Employee Start Date: 1/1/2021 Hours/ month: 91% - 100% (145 - 160 hours) Hours/month during trading hours: 81% - 90% (113 - 126 hours) Duties: Sales and management
- 9) SOUL FLY LODGE POSITION: Partial owner NATURE: Fly Fishing Lodge INVESTMENT RELATED: No # OF HOURS: 1 TRADING HOURS: 1 START DATE: 01/01/2021 ADDRESS: Gray Harbor Cay, Berry Islands UM 11111, United States DESCRIPTION: review financials
- 10) KISMET PROPERTIES POSITION: Member NATURE: Real Estate INVESTMENT RELATED: Yes # OF HOURS: 6 TRADING HOURS: 0 START DATE: 11/01/2019 ADDRESS: 210 Old Farms Road, Simsbury CT 06070, United States DESCRIPTION: Manage
- 11) FRANKLIN PIERCE UNIVERSITY POSITION: Board Member NATURE: Board position INVESTMENT RELATED: No # OF HOURS: 6 TRADING HOURS: 0 START DATE: 01/01/2020 ADDRESS: 40 University Drive, Rindge NH 03461, United States DESCRIPTION: Board of Trustees of Franklin Pierce University.
- 12) OUTDOOR GUIDE ASSOCIATION POSITION: Director NATURE: Board position INVESTMENT RELATED: No # OF HOURS: 2 TRADING HOURS: 0 START DATE: 01/01/2021 ADDRESS: 210 Old Farms Road, Simsbury CT 06070, United States DESCRIPTION: Oversight



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	POLICE CRIMINAL NUMBER H-78-55
Charge Date:	09/05/1978
Charge Details:	AT AGE 18 I ATTENDED A HIGH SCHOOL PARTY WITH A FRIEND AND ENGAGED IN DRINKING OF ALCOHOLIC BEVERAGES. ON THE WAY HOME AS A FOOLISH PRANK @ 3:20 AM WE TOOK SOME LETTERS FROM RURAL MAILBOXES
Felony?	
Current Status:	Final
Status Date:	05/03/1982
Disposition Details:	DISMISSED
Broker Statement	SEE ITEM #7 AND ATTACHED ORDER FOR DISMISSAL



End of Report

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