



## IAPD Report

# CLIFFORD LOUIS GILES

CRD# 1314230

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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

### CLIFFORD LOUIS GILES (CRD# 1314230)

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 **11/04/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	09/14/2023
<b>IA</b>	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	09/14/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>IA</b>	LPL FINANCIAL LLC	6413	EAST SETAUKET, NY	08/03/2021 - 09/20/2023
<b>B</b>	LPL FINANCIAL LLC	6413	EAST SETAUKET, NY	12/02/2014 - 09/20/2023
<b>IA</b>	LPL FINANCIAL LLC	6413	EAST SETAUKET, NY	12/01/2014 - 12/31/2015

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
Termination	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 9 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	General Securities Representative	Approved	09/14/2023
B FINRA	Invest. Co and Variable Contracts	Approved	09/14/2023
B Arizona	Agent	Approved	09/14/2023
B California	Agent	Approved	07/12/2024
B Delaware	Agent	Approved	09/14/2023
B Florida	Agent	Approved	09/14/2023
B Georgia	Agent	Approved	09/14/2023
B New Jersey	Agent	Approved	09/14/2023
B New York	Agent	Approved	09/14/2023
B North Carolina	Agent	Approved	09/20/2023
B Pennsylvania	Agent	Approved	09/14/2023

### Branch Office Locations

**NFP ADVISOR SERVICES, LLC**  
870 Montauk Hwy



### Qualifications

Bayport, NY 11705

**NFP ADVISOR SERVICES, LLC**  
1303 Main Street  
Port Jefferson, NY 11777

**NFP ADVISOR SERVICES, LLC**  
381 Main Street  
Bay Shore, NY 11706

### 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 New York	Investment Adviser Representative	Approved	09/14/2023

### Branch Office Locations

**KESTRA ADVISORY SERVICES, LLC**  
870 Montauk Hwy  
Bayport, NY 11705

**KESTRA ADVISORY SERVICES, LLC**  
381 Main Street  
Bay Shore, NY 11706




## 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 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/07/1991

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/18/1988
 Direct Participation Programs Representative Examination (S22)	Series 22	08/30/1985
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/07/1984

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/07/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1984

### 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	08/03/2021 - 09/20/2023	LPL FINANCIAL LLC	CRD# 6413	EAST SETAUKET, NY
B	12/02/2014 - 09/20/2023	LPL FINANCIAL LLC	CRD# 6413	EAST SETAUKET, NY
IA	12/01/2014 - 12/31/2015	LPL FINANCIAL LLC	CRD# 6413	EAST SETAUKET, NY
B	10/01/2012 - 12/12/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	BAYPORT, NY
IA	10/01/2012 - 12/12/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	BAYPORT, NY
B	05/02/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SAYVILLE, NY
IA	05/02/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SAYVILLE, NY
IA	12/11/2006 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	BAYPORT, NY
B	05/01/2002 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	BAYPORT, NY
B	06/20/2001 - 05/01/2002	DIME SECURITIES, INC.	CRD# 28955	BROOKLYN, NY
B	03/06/2001 - 07/06/2001	ON-SITE TRADING, INC.	CRD# 30271	GREAT NECK, NY
B	09/18/1996 - 07/13/1999	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	08/01/1994 - 09/18/1996	CHEMICAL INVESTMENT SERVICES CORP.	CRD# 36312	
B	05/26/1994 - 08/01/1994	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	11/03/1987 - 06/14/1994	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	12/11/1984 - 12/31/1987	ADVANTAGE CAPITAL CORPORATION	CRD# 146	



## Registration & Employment History

### 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
09/2023 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Port Jefferson, NY, United States
09/2023 - Present	Kestra Investment Services LLC	Registered Rep	Y	Port Jefferson, NY, United States
12/2014 - 09/2023	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	EAST SETAUKET, NY, 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.

Business Name: AIB (ADVISORS INSURANCE BROKERS) POSITION: Agent NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 2 START DATE: 08/28/2023 ADDRESS: 11 Executive Park Drive Clifton Park NJ 12065 DESCRIPTION: Product sales, placement and service.

Business Name: COASTLINE WEALTH MANAGEMENT POSITION: Wealth Management Advisor NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 08/25/2023 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESCRIPTION: Financial Planning  
Wealth Management  
Registered Rep Activities

Business Name: KESTRA ADVISORY SERVICES, LLC POSITION: Wealth Management Advisor NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 08/25/2023 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735 DESCRIPTION: Ongoing review of Investment Advisory Accounts



## 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
Termination	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>	WAMU INVESTMENTS, INC.
<b>Allegations:</b>	CLIENT ALLEGES REGISTERED REPRESENTATIVE TOLD HER ON 3/12/07 THE PRODUCT WOULD NOT LOSE ANY PRINCIPAL.
<b>Product Type:</b>	Unit Investment Trust(s)
<b>Alleged Damages:</b>	\$24,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/04/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/22/2008

#### Settlement Amount:

#### Individual Contribution Amount:



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	CHASE INVESTMENT SERVICES
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	06/21/1999
<b>Allegations:</b>	ALLEGATIONS BY CHANSE INVESTMENT SERVICES THAT MONEY WAS JOURNALED BETWEEN MYSELF AND ANOTHER BROKER [OTHER FIRM EMPLOYEE], WITHOUT THE FIRMS CONSENT
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	[OTHER FIRM EMPLOYEE] AND MYSELF HAD TRADING ACCOUNTS AT CHASE INVESTMENT SERVICES WHILE EMPLOYED AT SAME. FROM TIME TO TIME WE MOVED MONEY BACK AND FORTH BEETWEEN OUR ACCOUNTS. THESE WERE ALWAYS SIGNED BY A PRINCIPAL. NASD INVESTIGATED AND FOUND NO WRONGDOING.



## End of Report

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