



IAPD Report

JEFFREY ALLEN BREAUTL

CRD# 1757281

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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

JEFFREY ALLEN BREault (CRD# 1757281)

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 **02/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	10/03/2016
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/14/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	CAREY, THOMAS, HOOVER & BREault ADVISORS	155330	WICHITA, KS	11/17/2010 - 12/31/2016
B	CAREY, THOMAS, HOOVER, & BREault, INC. 38367		WICHITA, KS	07/05/1995 - 10/17/2016
IA	CAREY, THOMAS, HOOVER, & BREault, INC. 38367		WICHITA, KS	11/08/2002 - 12/31/2010

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
Regulatory Event	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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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 Kansas	Investment Adviser Representative	Approved	10/03/2016
IA Texas	Investment Adviser Representative	Restricted Approval	09/26/2025

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
8080 E Central
ste 200
Wichita, KS 67206

Employment 2 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 Principal	Approved	10/14/2016
B FINRA	General Securities Representative	Approved	10/14/2016
B FINRA	General Securities Sales Supervisor	Approved	10/14/2016
B FINRA	Operations Professional	Approved	10/14/2016



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	10/14/2016
B California	Agent	Approved	10/14/2016
B Colorado	Agent	Approved	10/14/2016
B Florida	Agent	Approved	10/14/2016
B Georgia	Agent	Approved	10/14/2016
B Illinois	Agent	Approved	10/14/2016
B Kansas	Agent	Approved	10/14/2016
B Missouri	Agent	Approved	10/14/2016
B Nebraska	Agent	Approved	11/26/2019
B Nevada	Agent	Approved	08/31/2022
B North Carolina	Agent	Approved	06/11/2018
B Oklahoma	Agent	Approved	10/18/2016
B Pennsylvania	Agent	Approved	02/04/2025
B South Carolina	Agent	Approved	10/14/2016
B Tennessee	Agent	Approved	10/14/2016
B Texas	Agent	Approved	10/14/2016
B Washington	Agent	Approved	10/19/2016
B Wyoming	Agent	Approved	10/14/2016

Branch Office Locations



Qualifications

NFP ADVISOR SERVICES, LLC
8080 E. Central STE 200
Wichita, KS 67206









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 6 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	07/26/1995
 Financial and Operations Principal Examination (S27)	Series 27	05/31/1995
 General Securities Principal Examination (S24)	Series 24	05/02/1995
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/26/1990

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/17/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/24/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/21/1987



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
IA	11/17/2010 - 12/31/2016	CAREY, THOMAS, HOOVER & BREault ADVISORS	CRD# 155330	WICHITA, KS
B	07/05/1995 - 10/17/2016	CAREY, THOMAS, HOOVER, & BREault, INC.	CRD# 38367	WICHITA, KS
IA	11/08/2002 - 12/31/2010	CAREY, THOMAS, HOOVER, & BREault, INC.	CRD# 38367	WICHITA, KS
B	07/31/1990 - 07/10/1995	RHODES SECURITIES, INC.	CRD# 19610	FT WORTH, TX
B	07/25/1989 - 08/01/1990	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	10/20/1987 - 08/12/1989	FIRM ONE SECURITIES, INCORPORATED	CRD# 13531	

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
10/2016 - Present	Kestra Advisory Services, LLC.	Investment Advisor	Y	Wichita, KS, United States
10/2016 - Present	Kestra Investment Services, LLC.	Registered Representative	Y	Wichita, KS, United States
03/1995 - Present	CAREY, THOMAS, HOOVER, BREault & CO., INC.	NOT PROVIDED	Y	WICHITA, KS, 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: Citizens Bank of Kansas Investment Related: Yes Address: 4820 E Douglas wichita KS 67208 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: director Start Date: 2/1/2016 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: director

Business Name: 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 Start Date: 10/17/2016 Hours per month: 41% - 50% (65 - 80 hours) Hours per month during



Registration & Employment History



OTHER BUSINESS ACTIVITIES

trading hours: 41% - 50% (57 - 70 hours) Duties: investment advice

Business Name: HB Investments LLC Investment Related: No Address: 8080 E Central ste 200 wichita KS 67206 Nature of Business: Other Back Office Operations Position, Title or Relationship: member Start Date: 10/1/2016 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: manage office operations

Business Name: Jeff Breault Investment Related: Yes Address: 8080 E Central ste 200 Wichita KS 67206 Nature of Business: Insurance Position, Title or Relationship: agent Start Date: 6/5/2017 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: sale of life insurance and long term care insurance

Business Name: Fortis Advisors Investment Related: Yes Address: 8080 E. Central Ste. 200 Wichita KS 67206 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: investment advisor Start Date: 9/16/2019 Hours per month: 51% - 60% (81 - 96 hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: investment advice

Business Name: SHRINERS HOSPITALS FOR CHILDREN-ST. LOUIS POSI: appointed board member, treasurer NOB: none INV REL: No #OF HOURS: 8 SECURITIES TRADING HOURS: 7 START DATE: 01/01/2024 ADDRESS: 4400 Clayton Ave, St. Louis MO 63110 DESC: attend monthly board meetings & executive board meetings. oversee hospital financial performance and report results to main board running hospital system

Business Name: M&J REAL ESTATE LLC POSITION: manager NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 4 START DATE: 12/31/2021 ADDRESS: 9472 Cross Creek Ct, Wichita KS 67206 DESCRIPTION: rent collection and management of properties

Business Name: WICHITA LODGE #99 A.F&A.M POSITION: Treasurer, resident agent NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/25/2024 ADDRESS: 2929 W. Pawnee, Wichita KS 67213 DESCRIPTION: resident agent for the masonic lodge to help them file informational organization paperwork with the state of ks Treasurer is very ceremonial, do on occasion help incoming Master with budget ideas for the lodge. The Lodge secretary performs all financial transactions for the lodge



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	KANSAS SECURITIES COMMISSIONER
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	NOTICE OF INTENT TO ISSUE ADMINISTRATIVE ACTION ON JEFF BREault.
Date Initiated:	06/28/2001
Docket/Case Number:	2001E058/KSC 1998-3687
Employing firm when activity occurred which led to the regulatory action:	RHOADES SECURITIES
Product Type:	Other
Other Product Type(s):	STOCK SHARES
Allegations:	JEFFERY OFFER AND SOLD UNREGISTERED STOCK SHARES IN WESTERN FEED MILLS TO HIS STOCK CLIENTS IE SELLING AWAY.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/26/2002



Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: BREULT WAS FOUND TO BE INVOLATION IN AN ADMINISTRATIVE HEARING OF ENGAGING IN DISHONEST OR UNETHICAL PRACTICES WHILE DEALING IN SECURITIES IE SELLING AWAY.

.....

Reporting Source: Individual

Regulatory Action Initiated By: KANSAS STATE SECURITIES COMMISSIONER

Sanction(s) Sought: Censure

Date Initiated: 06/28/2001

Docket/Case Number: 2001EO58

Employing firm when activity occurred which led to the regulatory action: RHODES SECURITIES, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: OFFERING OR SELLING SECURITIES WITHOUT WRITTEN APPROVAL OF A BROKER-DEALER.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/08/2002

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 08/14/2002

Was any portion of penalty waived? No

Amount Waived:



Broker Statement

THIS PROCEEDING AROSE FROM A COMPLAINT FILED AGAINST THE COMPANY BY DISGRUNTLED RELATIVE OF MINE WHO MADE DISHONEST STATEMENTS AT HEARING IN A MISGUIDED ATTEMPT TO INFLICT DAMAGE AGAINST WESTERN FEED MILLS AND ME PERSONALLY. THE HEARING OFFICER WAS ALSO CAUGHT WITH A VAGUELY WORDED AND MISLEADING REGULATION. THIS IS A SUPPORTED IN HIS CLOSING REMARKS THAT INCLUDED THE FOLLOWING: "THIS IS PERHAPS A MATTER UPON FIRST IMPRESSION OF WHAT SELLING AWAY MIGHT BE INTERPRETED TO MEAN. THAT TERMINOLOGY IS I THINK SOMEWHAT MISLEADING WHEN YOU LOOK AT THE ACTUAL LANGUAGE OF THE RULES AND AS A RESULT COULD BE MISLEADING TO THOSE WHO ARE OBLIGED TO FOLLOW THOSE RULES";"CONSIDERING THAT THERE WAS NO COMMISSION PAID TO THE RESPONDENT AS RESULT OF THESE TRANSACTIONS, THAT MAY HAVE CONTRIBUTED TO WHAT I THINK WAS A MISUNDERSTANDING OF THE TERM 'SELLING AWAY'. I DON'T THINK THAT THE VIOLATION WAS MOTIVATED BY ANY SINISTER PLAN."



End of Report

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