



IAPD Report

RAINEY STEVEN ROGERS SR

CRD# 1839823

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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

RAINEY STEVEN ROGERS SR (CRD# 1839823)

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 **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	02/08/2022
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	02/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	PRINCIPAL SECURITIES, INC.	1137	MCKINNEY, TX	03/24/2005 - 02/14/2022
B	PRINCIPAL SECURITIES, INC.	1137	MCKINNEY, TX	08/30/1988 - 02/14/2022

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	4



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 **22** 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	Invest. Co and Variable Contracts	Approved	02/08/2022
B FINRA	General Securities Representative	Approved	05/15/2024
B Arizona	Agent	Approved	02/08/2022
B Arkansas	Agent	Approved	02/08/2022
B California	Agent	Approved	02/08/2022
B Colorado	Agent	Approved	02/08/2022
B Florida	Agent	Approved	02/08/2022
B Georgia	Agent	Approved	02/09/2022
B Idaho	Agent	Approved	02/08/2022
B Illinois	Agent	Approved	11/20/2023
B Kansas	Agent	Approved	02/08/2022
B Louisiana	Agent	Approved	02/08/2022
B Maryland	Agent	Approved	02/08/2022



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	02/08/2022
B Minnesota	Agent	Approved	02/08/2022
B Missouri	Agent	Approved	02/08/2022
B Nevada	Agent	Approved	05/23/2022
B North Carolina	Agent	Approved	02/17/2022
B Oklahoma	Agent	Approved	02/09/2022
B Pennsylvania	Agent	Approved	02/08/2022
B South Carolina	Agent	Approved	11/17/2022
B Texas	Agent	Approved	02/08/2022
B Utah	Agent	Approved	02/10/2022
B Virginia	Agent	Approved	02/08/2022

Branch Office Locations

NFP ADVISOR SERVICES, LLC
 6928 Mediterranean Dr
 Ste 200
 McKinney, TX 75072

NFP ADVISOR SERVICES, LLC
 Mckinney, TX

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 Texas	Investment Adviser Representative	Approved	02/08/2022



Qualifications

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
6928 Mediterranean Dr,
Ste 200
McKinney, TX 75072

KESTRA ADVISORY SERVICES, LLC
Mckinney, TX



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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	05/14/2024
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/29/1988

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1988
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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	03/24/2005 - 02/14/2022	PRINCIPAL SECURITIES, INC.	CRD# 1137	MCKINNEY, TX
B	08/30/1988 - 02/14/2022	PRINCIPAL SECURITIES, INC.	CRD# 1137	MCKINNEY, TX

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
02/2022 - Present	Kestra Advisory Services, LLC	Investment Advisor	Y	McKinney, TX, United States
02/2022 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Mckinney, TX, United States
03/2016 - 02/2022	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	MCKINNEY, TX, United States
07/1998 - 02/2022	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	MCKINNEY, TX, United States
11/2013 - 03/2021	ROGERS-TATE FINANCIAL GROUP	FINANCIAL REP	Y	MCKINNEY, TX, 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.

***GROUP INSURANCE,03/28/2011,SELLS HEALTH INSURANCE.

***OUTSIDE INSURANCE, SELLING FIXED LIFE INSURANCE, FIXED ANNUITIES, HEALTH, DI AND LONG TERM CARE, 7/21/11.

***Blue Dolphin Condo; Not Investment Related; ; Owner; Own condo used for personal and rental purposes.; Start Date: 03/22/2019; 1 hrs per month; 0 during trading hours.



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRINCIPAL SECURITIES, INC.
Allegations:	The Guardian for the client alleged the additional premiums to the VA contract in 2021 were unsuitable for the client's age.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	There was no specific amount of damages alleged, and the Firm could not make a good faith determination at the time of the verbal allegations that the damages would be less than \$5000.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/16/2023
Complaint Pending?	No
Status:	Settled
Status Date:	11/04/2025
Settlement Amount:	\$44,138.44



Individual Contribution Amount: \$0.00
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRINCIPAL SECURITIES, INC.
Allegations: The Guardian for the client alleged the additional premiums to the VA contract in 2021 were unsuitable for the client's age.
Product Type: Annuity-Variable
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): There was no specific amount of damages alleged, and the Firm could not make a good faith determination at the time of the verbal allegations that the damages would be less than \$5000.
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/16/2023
Complaint Pending? No
Status: Settled
Status Date: 11/04/2025
Settlement Amount: \$44,138.44
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES CORPORATION
Allegations: THEY SAY THAT I GAVE THEM THE WRONG INFORMATION ON AN ANNUITY THEY PURCHASED FROM SOMEONE ELSE 9 YEARS AGO.
Product Type: Annuity-Variable
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC COMPENSATORY DAMAGES ALLEGED
Is this an oral complaint? No
Is this a written complaint? Yes



Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/20/2015

Complaint Pending? No

Status: Settled

Status Date: 05/16/2016

Settlement Amount: \$64,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE [CUSTOMERS] HAD SEVERAL ANNUITIES THEY NONE OF WHICH I SOLD THEM AND THEY TOOK TOO MUCH MONEY OUT OF THE ANNUITY WHICH RESET THE INCOME RIDER. THEY SAY THAT THEY SHOULD HAVE BEEN ABLE TO TAKE OUT THE GUARANTEED INCOME AMOUNT AS A LUMP SUM - NOT JUST A 5% INCOME.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES CORPORATION

Allegations: CLIENT WROTE A LETTER TO ME SAYING I MISLEAD HER TO BELIEVE THE COMPANY SHE HAS OWNERSHIP IN AND I WAS CHAIRMAN OF THE BOARD WAS DOING GOOD WHEN IT WAS NOT.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/27/2014

Complaint Pending? No

Status: Denied

Status Date: 04/01/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement ACCUSATIONS IN LETTER HAVE NO MERIT.

**Disclosure 4 of 4**

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORPORATION
Allegations:	PLEADING ALLEGED INVOLVEMENT IN SOLICITATION OF PRIVATE PLACEMENT INVESTMENTS THAT WERE ALLEGEDLY UNSUITABLE. ALL MATERIAL ALLEGATIONS WERE DENIED.
Product Type:	Other
Other Product Type(s):	STOCK
Alleged Damages:	\$1,100,000.00
Customer Complaint Information	
Date Complaint Received:	09/16/2002
Complaint Pending?	No
Status:	Litigation
Status Date:	01/19/2005
Settlement Amount:	\$405,000.00
Individual Contribution Amount:	\$30,000.00
Civil Litigation Information	
Court Details:	THE 116TH JUDICIAL DISTRICT COURT OF DALLAS COUNTY, TEXAS. CASE #0208480
Date Notice/Process Served:	09/12/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/19/2005
Monetary Compensation Amount:	\$405,000.00
Individual Contribution Amount:	\$30,000.00
Broker Statement	THIS CASE WAS SETTLED WITHOUT ANY ADMISSION OF LIABILITY WHATSOEVER.



End of Report

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