



IAPD Report

PHILIP GIAMMARINO

CRD# 1999395

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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

PHILIP GIAMMARINO (CRD# 1999395)

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 **10/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	03/13/2020
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	03/13/2020
IA	GANIM PRIVATE WEALTH	CRD# 285679	05/16/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	UBS FINANCIAL SERVICES INC.	8174	PORT JEFFERSON, NY	04/08/2011 - 03/24/2020
IA	UBS FINANCIAL SERVICES INC.	8174	PORT JEFFERSON, NY	04/08/2011 - 03/24/2020
IA	WELLS FARGO ADVISORS, LLC	19616	PORT JEFFERSON, NY	08/14/2007 - 04/11/2011

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 **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

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	03/13/2020
B Arizona	Agent	Approved	03/13/2020
B California	Agent	Approved	03/13/2020
B Colorado	Agent	Approved	03/13/2020
B Connecticut	Agent	Approved	03/13/2020
B District of Columbia	Agent	Approved	03/13/2020
B Florida	Agent	Approved	03/13/2020
B Georgia	Agent	Approved	01/16/2021
B Maine	Agent	Approved	03/13/2020
B Maryland	Agent	Approved	03/13/2020
B Massachusetts	Agent	Approved	09/03/2020
B Michigan	Agent	Approved	03/13/2020
B Nebraska	Agent	Approved	05/22/2020



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	08/19/2021
B New Jersey	Agent	Approved	03/13/2020
B New Mexico	Agent	Approved	03/13/2020
B New York	Agent	Approved	03/13/2020
B North Carolina	Agent	Approved	03/26/2020
B Ohio	Agent	Approved	03/13/2020
B Oregon	Agent	Approved	03/13/2020
B Pennsylvania	Agent	Approved	03/13/2020
B South Carolina	Agent	Approved	03/13/2020
B Texas	Agent	Approved	03/13/2020
B Vermont	Agent	Approved	08/12/2020
B Virgin Islands	Agent	Approved	10/06/2022
B Virginia	Agent	Approved	03/13/2020

Branch Office Locations

NFP ADVISOR SERVICES, LLC

1303 Main Street
Port Jefferson, NY 11777

Employment 2 of 3

Firm Name: **GANIM PRIVATE WEALTH**
Main Address: 2 ENTERPRISE DRIVE
SUITE 305
SHELTON, CT 06484
Firm ID#: 285679



Qualifications

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	05/16/2022
IA New York	Investment Adviser Representative	Approved	05/16/2022

Branch Office Locations

GANIM PRIVATE WEALTH
 2 ENTERPRISE DRIVE
 SUITE 305
 SHELTON, CT 06484

Employment 3 of 3

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	06/07/2021

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
 414 Main St
 Suite 302
 Port Jefferson, NY 11777



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

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	12/19/1991
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/15/1999
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 Uniform Securities Agent State Law Examination (S63)	Series 63	01/09/1992
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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
B	04/08/2011 - 03/24/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORT JEFFERSON, NY
IA	04/08/2011 - 03/24/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORT JEFFERSON, NY
IA	08/14/2007 - 04/11/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	PORT JEFFERSON, NY
B	07/01/2003 - 04/11/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	PORT JEFFERSON, NY
B	10/26/1998 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	12/20/1991 - 10/13/1998	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ

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
05/2022 - Present	GFS Wealth Management Advisors Inc	Investment Adviser Representative	Y	Shelton, CT, United States
03/2020 - Present	Coastline Wealth Mangement	Director of Premier Wealth Management	Y	Port Jefferson, NY, United States
03/2020 - Present	Kestra Advisory Services, LLC.	Investment Advisor	Y	Port Jefferson, NY, United States
03/2020 - Present	Kestra Investment Services, LLC.	Registered Representative	Y	Port Jefferson, NY, United States
03/2020 - Present	Russell Wealth Management	Registered Rep	Y	Port Jefferson, NY, United States
04/2011 - 03/2020	UBS FINANCIAL SERVICES INC	Vice President Investments	Y	Melville, 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: PMG Capital Management Corp. Investment Related: No Address: 2 Van Cott Place North Bellmore NY 11710
Nature of Business: Other Back Office Operations Position, Title or Relationship: Owner, President Start Date: 1/9/2020 Hours



Registration & Employment History



OTHER BUSINESS ACTIVITIES

per month outside trading hours: 8 Hours per month during trading hours: 7 Duties: Pass through entity used to pay bills

Business Name: Soundview Capital Mgmt Partners Inc. Investment Related: No Address: 2 Van Cott Place North Bellmore NY 11710 Nature of Business: Other Back Office Operations Position, Title or Relationship: Co-owner, President Start Date: 1/10/2020 Hours per month outside trading hours: 8 Hours per month during trading hours: 2 Duties: Pay bills

Business Name: 1303 Main, LLC Investment Related: No Address: 1303 Main Street Port Jefferson NY 11777 Nature of Business: Rental/Leasing of Commercial Property Title or Relationship: Co-owner Start Date: 8/15/2020 Hours per month outside trading hours: 5 Hours per month during trading hours: 5 Duties: Management of property, pay bills.

Business Name: COASTLINE HOLDINGS GROUP, LLC POS: Member NOB: Investment advisory services through an independent outside RIA INV REL: Yes NUMBER OF HOURS: 88 SECURITIES TRADING HOURS: 63 START DATE: 12/28/2020 ADDRESS: 414 Main Street, Suite 302, Port Jefferson NY 11777 DESC: Management, investment advice and financial planning

I am a registered representative of Kestra Financial Services which is a broker dealer. I have an LLC formed for the purpose of owning a building with my business partners.

Business Name: 7 Claw LLC; Investment Related: No Address: 1303 Main Street Port Jefferson NY 11777 Nature of Business: Private corporation for the purpose of Real Estate investment.; Title: Member; Start Date: 2022-05-02; Hours per month outside trading hours: 5% Hours per month during trading hours: 0% Percentage of total yearly compensation expected to be derived from the business: 1; Duties: Review and vote on investment opportunities related to private real estate deals.

Business Name: Coastline Wealth Management Russell Giammarino Wealth Management; Investment Related: No 1303 Main Street Port Jefferson NY 11710 USA; Title: Director of Premier Wealth Management; Start date: 2020-03-13; Hours per month outside trading hours: 22 Hours per month during trading hours: 130; Percentage of total yearly compensation expected to be derived from the business: 90; Duties: Registered rep activities include sales of stocks, bonds and mutual funds as well as managed money products such as fee based accounts.

Business Name: Kestra Advisory Services LLC; Investment Related: Yes; Address: 5707 Southwest Parkway, Bldg. 2, Ste. 400 Austin TX 78735 USA; Title: Director of Premier Wealth Management; Start date: 2020-03-13; Hours per month outside trading hours: 11; Hours per month during trading hours: 77; Percentage of total yearly compensation expected to be derived from the business: 85; Duties: Investment advisor in fee based 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

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

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: UNAUTHORIZED SALE OF PAINWEBBER CAPITAL APPRECIATION FUND. NO MONETARY DAMAGES ALLEGED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/23/1997

Complaint Pending? No

Status: Denied

Status Date: 10/20/1997

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM AND ALLOCATION DENIED. CLIENTS LETTER ON 5/23/97 AUTHORIZED SALE. IE SPOKE W/CLIENT REGARDING SALE. I EMPHATICALLY DENY THE ALLEGAITON OF UNAUTHORIZED TRADING. PAINWEBBER IS IN RECEIPT OF WRITTEN INSTRUCTIONS REQUESTING THAT WE LIQUIDATE AND DISTRIBUTE THE FUNDS. STATE LAW REQUIRES THAT GUARDIANSHIPS BE ESTABLISHED BEFORE MINORS CAN RECEIVE IRA DISTRIBUTIONS. PAINWEBBER WAS



UNABLE TO MAKE SUCH DISTRIBUTIONS, AS THE EXECUTIX HAD YET TO ESTABLISH SUCH GUARDIANSHIPS.



End of Report

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