



IAPD Report

Gerald Lyman Ursrey

CRD# 2554203

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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

Gerald Lyman Ursrey (CRD# 2554203)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	12/09/2022
IA	KESTRA PRIVATE WEALTH SERVICES, LLC	CRD# 155193	10/20/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	KESTRA ADVISORY SERVICES, LLC	283330	Ponte Vedra Beach, FL	12/22/2022 - 04/19/2024
IA	TLG ADVISORS, INC.	111052	Jacksonville, FL	08/25/2022 - 12/12/2022
B	THE LEADERS GROUP, INC.	37157	Jacksonville, FL	12/20/2005 - 12/12/2022

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
Regulatory Event	1
Criminal	1
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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BLDG. 2 STE 400
AUSTIN, TX 78735
Firm ID#: 155193

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	10/20/2023
IA Texas	Investment Adviser Representative	Restricted Approval	05/15/2026

Branch Office Locations

KESTRA PRIVATE WEALTH SERVICES, LLC
180 Library Blvd
Suite 102
Ponte Vedra Beach, FL 32082

KESTRA PRIVATE WEALTH SERVICES, LLC
Ponte Vedra Beach, FL

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	Invest. Co and Variable Contracts	Approved	12/09/2022
B Florida	Agent	Approved	12/12/2022
B Georgia	Agent	Approved	12/09/2022
B Kansas	Agent	Approved	01/16/2026



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	01/06/2023
B Pennsylvania	Agent	Approved	12/13/2022
B Texas	Agent	Approved	12/09/2022

Branch Office Locations

NFP ADVISOR SERVICES, LLC
180 Library Blvd
Suite 102
Ponte Vedra Beach, FL 32082

NFP ADVISOR SERVICES, LLC
Ponte Vedra Beach, FL



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
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/14/1994

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/16/2022
Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/2002

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	12/22/2022 - 04/19/2024	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	Ponte Vedra Beach, FL
IA	08/25/2022 - 12/12/2022	TLG ADVISORS, INC.	CRD# 111052	Jacksonville, FL
B	12/20/2005 - 12/12/2022	THE LEADERS GROUP, INC.	CRD# 37157	Jacksonville, FL
B	11/02/2001 - 01/19/2006	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CONSHOHOCKEN, PA
IA	11/06/2001 - 07/15/2005	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	JACKSONVILLE, FL
B	12/15/1994 - 11/15/2001	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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
12/2022 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Ponte Vedra Beach, FL, United States
12/2022 - Present	Kestra Investment Services LLC	Registered Rep	Y	Ponte Vedra Beach, FL, United States
12/2005 - 12/2022	The Leaders Group, Inc.	Registered Representative	Y	Littleton, CO, 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.

- 1.) PINNACLE IFS - 12/1/2005 - 7791 Belfort Pkwy Jacksonville FL 32245 - Agent, I sell life insurance, DI, long term care, fixed indexed annuities, variable annuities, fixed annuities and mutual funds, insurance business, Not Invt Rel, 160 hrs/mo; 80 hrs/mo (during trading hours).
- 2.) THE URSREY COMPANIES LLC - 1/1/2005 - 93 Players Club Villas Ponte Vedra Beach FL 32082 - I am the Managing Partner of The Ursrey Companies LLC, I run my insurance and securities business through the LLC which acts as a sub chapter s, company is active, Invt Rel, 160 hrs/mo; 80 hrs/mo (during trading hours).
NAME: TLG ADVISORS INC - 8/18/2022 - 26 W Dry Creek Circle, Suite 800, Littleton, CO 80120 - IAR Rep, Invt Rel, RA business, 10 hrs/mo; 10 hrs/mo (during trading hours).
NAME: THE URSREY COMPANIES, LLC POSITION: Advisor NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS: 240 SECURITIES TRADING HOURS: 130 START DATE: 12/01/2022 ADDRESS: 7791 Belfort Parkway, Jacksonville, FL 32256 DESCRIPTION: Asset allocation, advise clients for investment needs, actively manage clients investments.

Name: KESTRA ADVISORY SERVICES, LLC POSITION: Investment Advisor representative NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 240 SECURITIES TRADING HOURS: 130 START DATE: 12/08/2022 ADDRESS: 5707 Southwest Parkway, Building 2 Suite 400, Austen TX 78735 DESCRIPTION: Advising Clients and managing clients investment accounts

Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 01/17/2025 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Name: THE URSREY COMPNIES LLC POSITION: managing Partner NATURE: The Ursrey Companies is an LLC and reports as a S Corp for tax purposes INVESTMENT RELATED: No # OF HOURS: 5 SECURITIES TRADING HOURS: 16 START DATE: 01/17/2025 ADDRESS: 63 Players Club Villas Rd, Ponte Vedra Beach FL 32082, United States DESCRIPTION: Managing Partner

NAME: THE URSREY COMPANIES, LLC POSITION: Advisor NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 240 SECURITIES TRADING HOURS: 130 START DATE: 11/21/2025 ADDRESS: 7791 Belfort Parkway, Jacksonville, FL 32256, United States DESCRIPTION: Asset allocation, advise clients for investment needs, actively manage clients investments.

NAME: RIVERGRASS WEALTH MANAGEMENT POSITION: Managing Director NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 128 START DATE: 11/17/2023 ADDRESS: 180 Library Blvd Suite 102, Ponte Vedra Beach FL 32082, United States DESCRIPTION: Fee Based Investment Advisory Services. Sales Of Variable Life Insurance, Registered Index Variable, Annuities , Variable Annuities



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
Criminal	1
Customer Dispute	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:	FLORIDA OFFICE OF FINANCIAL REGULATION ("OFFICE")
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/02/2010
Docket/Case Number:	0487-S-4/10
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	THE LEADERS GROUP, INC.
Product Type:	No Product
Allegations:	ON 12/3/2010, THE OFFICE ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT DATED 12/2/2010 WHEREBY MR. GERALD L. URSREY NEITHER ADMITTED NOR DENIED THE FINDINGS THAT HE FAILED TO DISCLOSE THE FIRM THROUGH WHICH SECURITIES AND INVESTMENTS WERE OFFERED AND SOLD, FAILED TO OBTAIN OR MAINTAIN COPIES OF REGISTERED PRINCIPAL APPROVAL OF ADVERTISEMENTS, AND FAILED TO ADHERE TO TLG'S SUPERVISORY PROCEDURES.
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:	12/03/2010
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: AS PART OF THE FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT DATED 12/3/2010, MR. URSREY AGREED TO CEASE AND DESIST FROM VIOLATIONS OF CHAPTER 517, F.S.. AND TO PAY AN ADMINISTRATIVE FINE OF \$7,500.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	12/30/2010
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	06/30/2010
Docket/Case Number:	ADMINISTRATIVE PROCEEDING NO.0487-S-4/10
Employing firm when activity occurred which led to the regulatory action:	THE LEADERS GROUP, INC.
Product Type:	No Product
Allegations:	FAILED TO DISCLOSE THE FIRM THROUGH WHICH SECURITIES AND INVESTMENTS WERE OFFERED AND SOLD, FAILED TO OBTAIN OR MAINTAIN COPIES OF REGISTERED PRINCIPAL APPROVAL OF ADVERTISEMENTS, AND FAILED TO ADHERE TO TLG'S SUPERVISORY PROCEDURES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a	No



final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Resolution Date: 12/02/2010

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

Monetary Sanction 1 of 1

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

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: N/A

Is Payment Plan Current:

Date Paid by individual: 11/19/2010

Was any portion of penalty waived? No

Amount Waived:



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: US DISTRICT COURT FOR THE SOUTHERN DISTRICT OF GEORGIA, BRUNSWICK DIVISION, SAVANNAH GEORGIA; CASE NUMBER CR298-39

Charge Date: 09/06/1998

Charge Details: 3 COUNTS -FELONY-NOT GUILTY (COUNT 1-BANK FRAUD, COUNT 2-FALSE STATEMENT ON A LOAN & CREDIT APPLICATION, COUNT 3-FALSE STATEMENT ON LOAN & CREDIT APPLICATION)

Felony? Yes

Current Status: Final

Status Date: 02/05/1999

Disposition Details: 12 MONTH PRETRIAL DIVERSION-\$77,683 IN RESTITUTION DUE BY MR. URSREY, COMUNITY SERVICE-100 HOURS. 08/04/2000-TERMINATION OF PRETRIAL DIVERSION. CHARGES DROPPED

Broker Statement 1984 BANK OF HAZELHURST CONTACTED ME REGARDING BUILDING HOMES ON PROPERTY PREVIOUSLY OWNED BY ME. WE BUILT HOUSES ON THE PROPERTY IN CONJUNCTION WITH THE BANK FOR 9 YEARS. IN LATE 1993 THE FMHA HAD PRE-APPROVED 50+ HOMES. THE GOV'T STOPPED LOANING THE MONEY TO ME SO I COULD NOT PAY THE BANK. ASKED THE BANK TO DELAY INTEREST AND REFUSED TO DO SO. WITHIN 13 MONTHS THE BUSINESS FAILED. I THEN DEEDED ALL PROPERTY TO THE BANK TO PAY OFF ANY AND ALL DEBTS OWED. TO OUR KNOWLEDGE WE SATISFIED ALL THE BANK NOTES WITH THE PROPERTY. AFTER 5 YRS PAPERS WERE SERVED.



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:	THE LEADERS GROUP
Allegations:	UNSUITABLE SALE OF VARIABLE ANNUITY; OCCURRED ON OR ABOUT 10/09/2008 .
Product Type:	Annuity-Variable
Alleged Damages:	\$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-000678
Filing date of arbitration/CFTC reparation or civil litigation:	02/04/2009

Customer Complaint Information

Date Complaint Received:	02/18/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/04/2009
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-000678
Date Notice/Process Served:	02/04/2009
Arbitration Pending?	No
Disposition:	Settled



Disposition Date:	12/18/2010
Monetary Compensation Amount:	\$125,000.00
Individual Contribution Amount:	\$0.00



End of Report

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