



IAPD Report

KEVIN G THOMPSON

CRD# 2614746

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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

KEVIN G THOMPSON (CRD# 2614746)

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 **05/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	03/13/2015
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/20/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	NFP ADVISOR SERVICES, LLC	42046	LA JOLLA, CA	03/16/2015 - 09/22/2016
B	MORGAN STANLEY	149777	LA JOLLA, CA	06/01/2009 - 03/23/2015
IA	MORGAN STANLEY	149777	LA JOLLA, CA	06/01/2009 - 03/23/2015

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



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 **14** 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	03/13/2015
B Arizona	Agent	Approved	04/10/2024
B California	Agent	Approved	03/13/2015
B Colorado	Agent	Approved	01/25/2021
B Florida	Agent	Approved	03/13/2015
B Nebraska	Agent	Approved	11/05/2021
B Nevada	Agent	Approved	03/24/2015
B New York	Agent	Approved	03/03/2021
B North Carolina	Agent	Approved	01/25/2023
B Ohio	Agent	Approved	03/13/2015
B Oregon	Agent	Approved	03/13/2015
B Tennessee	Agent	Approved	03/13/2015
B Texas	Agent	Approved	03/13/2015



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/13/2015
B Wisconsin	Agent	Approved	02/17/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC
 888 Prospect St. Suite 200
 La Jolla, CA 92037

NFP ADVISOR SERVICES, LLC
 1370 N. Brea Blvd, Ste 108
 Fullerton, CA 92835

NFP ADVISOR SERVICES, LLC
 1990 Main St Ste 750
 Sarasota, FL 34236

NFP ADVISOR SERVICES, LLC
 Bradenton, FL

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 California	Investment Adviser Representative	Approved	04/20/2016
IA Florida	Investment Adviser Representative	Approved	03/24/2021
IA Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
 888 Prospect St. Suite 200
 La Jolla, CA 92037

KESTRA ADVISORY SERVICES, LLC
 1370 N. Brea Blvd, Ste 108
 Fullerton, CA 92835

KESTRA ADVISORY SERVICES, LLC
 1990 Main St Ste 750
 Sarasota, FL 34236

KESTRA ADVISORY SERVICES, LLC
 Bradenton, 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, 4 general industry/product exams, and 3 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
General Securities Representative Examination (S7)	Series 7	08/11/2008
Futures Managed Funds Examination (S31)	Series 31	05/30/1997
Municipal Securities Representative Examination (S52)	Series 52	05/26/1995

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/08/2008
Uniform Investment Adviser Law Examination (S65)	Series 65	05/30/1997
Uniform Securities Agent State Law Examination (S63)	Series 63	06/16/1995

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	03/16/2015 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	LA JOLLA, CA
B	06/01/2009 - 03/23/2015	MORGAN STANLEY	CRD# 149777	LA JOLLA, CA
IA	06/01/2009 - 03/23/2015	MORGAN STANLEY	CRD# 149777	LA JOLLA, CA
IA	10/16/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LA JOLLA, CA
B	08/12/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LA JOLLA, CA
B	11/08/2004 - 04/04/2005	QA3 FINANCIAL CORP.	CRD# 14754	OMAHA, NE
IA	11/08/2004 - 04/01/2005	WEALTH ADVISORS, INC.	CRD# 130478	SAN DIEGO, CA
B	03/22/2004 - 09/01/2004	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	04/12/2001 - 11/07/2002	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN
IA	04/12/2001 - 11/07/2002	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	SARASOTA, FL
B	07/09/1999 - 04/24/2001	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	04/16/1997 - 09/28/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	05/30/1995 - 04/23/1997	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LA JOLLA, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LA JOLLA, CA, 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.

Name: FINANCIAL PARTNERS Investment Related: Yes Address: 888 PROSPECT ST STE 200 LA JOLLA CA 92037 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Owner Start Date: 3/16/2015 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: I work with clients to help them with their investments and retirement planning.

Name: American Financial Network Inc Investment Related: Yes Address: 10 Point Drive #330 Brea CA 92821 Nature of Business: Loan/Mortgage/Lending Related Position, Title or Relationship: Loan officer Start Date: 5/1/2016 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Loan origination. I would take loan applications, collect supporting documentation and submit this information to a loan processor for underwriting.

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 Representative Start Date: 4/4/2016 Hours per month: Up to 100% (0 to 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory services

Name: TRUSTEE FOR THE DAVID C THOMPSON REVOCABLE TRUST POSITION: trustee NATURE: Legal/Attorney/Trustee/Executor INVESTMENT RELATED: Yes # OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 05/28/2015 ADDRESS: 3618 4th Ave NE, Bradenton FL 34208, United States DESCRIPTION: Handle estate and accounts for the trust



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:	Firm
Employing firm when activities occurred which led to the complaint:	ROBERT W. BAIRD & CO. INCORPORATED
Allegations:	ALLEGED UNAUTHORIZED, UNSUITABLE AND EXCESSIVE TRANSACTIONS.
Product Type:	Equity - OTC
Alleged Damages:	\$170,000.00

Customer Complaint Information

Date Complaint Received:	11/25/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/25/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DISPUTE RESOLUTION ARBITRATION NUMBER 02-05677
Date Notice/Process Served:	11/25/2002
Arbitration Pending?	No



Disposition: Settled
Disposition Date: 01/07/2004
Monetary Compensation Amount: \$37,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: ROBERT W. BAIRD & CO. INCORPORATED

Allegations: ALLEGED UNAUTHORIZED, UNSUITABLE AND EXCESSIVE TRANSACTIONS.
Product Type: Equity - OTC
Alleged Damages: \$170,000.00

Customer Complaint Information

Date Complaint Received: 11/25/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/25/2002

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 02-05677

Date Notice/Process Served: 11/25/2002
Arbitration Pending? No

Disposition: Settled
Disposition Date: 01/07/2004
Monetary Compensation Amount: \$37,000.00
Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER ALLEGED CHURNING, BREACH OF FIDUCIARY DUTY, FRAUD & NEGLIGENT SUPERVISION. THOMPSON WAS NAMED BUT DID NOT WORK WITH CUSTOMER. THOMPSON WAS DISMISSED WITH PREJUDICE AFTER EXPLANATION TO CLAIMANTS' COUNSEL. THOMPSON PAID NO MONEY TO CUSTOMER.



End of Report

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