



IAPD Report

EDWARD JOHN GRIMPE

CRD# 2737006

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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

EDWARD JOHN GRIMPE (CRD# 2737006)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/01/2024
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	10/08/2024

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	B. RILEY WEALTH ADVISORS, INC.	115927	Miami, FL	08/25/2022 - 10/31/2024
B	B. RILEY WEALTH MANAGEMENT	2543	Miami, FL	09/18/2020 - 10/31/2024
IA	B RILEY WEALTH MANAGEMENT	2543	Miami, FL	09/22/2020 - 12/31/2022

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
Financial	2
Judgment/Lien	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 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	10/01/2024
B FINRA	General Securities Sales Supervisor	Approved	10/01/2024
B Florida	Agent	Approved	10/02/2024
B Georgia	Agent	Approved	10/01/2024
B Minnesota	Agent	Approved	07/16/2025
B Nevada	Agent	Approved	11/18/2025
B New York	Agent	Approved	10/01/2024
B South Carolina	Agent	Approved	10/16/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC
2424 North Federal Highway Suite 400
Boca Raton, FL 33431

NFP ADVISOR SERVICES, LLC
Dania Beach, FL


Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735



Qualifications

Firm ID#: 283330

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	10/08/2024

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
Dania Beach, FL

KESTRA ADVISORY SERVICES, LLC
2424 North Federal Highway
Suite 400
Boca Raton, FL 33431



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/22/2001
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/22/2001

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	12/18/2014
Futures Managed Funds Examination (S31)	Series 31	04/08/2005
General Securities Representative Examination (S7)	Series 7	06/03/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/17/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	06/17/1996

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	08/25/2022 - 10/31/2024	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Miami, FL
B	09/18/2020 - 10/31/2024	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Miami, FL
IA	09/22/2020 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Miami, FL
IA	05/30/2013 - 09/29/2020	BB&T SECURITIES, LLC	CRD# 142785	FT LAUDERDALE, FL
B	05/02/2013 - 09/29/2020	BB&T SECURITIES, LLC	CRD# 142785	FT LAUDERDALE, FL
IA	11/21/2007 - 05/06/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WEST PALM BEACH, FL
B	06/04/1996 - 05/06/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WEST PALM BEACH, FL

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
10/2024 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Boca Raton, FL, United States
10/2024 - Present	Kestra Investment Services LLC	Registered Representative	Y	Boca Raton, FL, United States
07/2022 - 10/2024	B. RILEY WEALTH ADVISORS, INC.	Regional Manager	Y	Memphis, TN, United States
09/2020 - 10/2024	B. Riley Wealth Management	Regional Manager	Y	Memphis, TN, United States
05/2013 - 09/2020	BB&T SECURITIES	COMPLEX BRANCH MANAGER	Y	FORT LAUDERDALE, FL, United States



Registration & Employment History



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: 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: 09/26/2024 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Name: GRIMPE ENTERPRISES POSITION: Owner NATURE: Entity for tax purposes INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 06/13/2022 ADDRESS: 313 NE 2nd Court, Dania Beach FL 33004, United States DESCRIPTION: Receive Income and payout expenses.

Name: HMY YACHT SALES POSITION: Sales Professional NATURE: Yacht Sales INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 40 START DATE: 10/01/2022 ADDRESS: 817 NE 3rd St, Dania Beach FL 33004, United States DESCRIPTION: Sales of New and used Yachts

Name: BLACKPOINT CAPITAL, LLC POSITION: Partner NATURE: Advance Legal Funding INVESTMENT RELATED: No # OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 10/15/2019 ADDRESS: 313 NE 2nd Court, Dania Beach FL 33004, United States DESCRIPTION: Limited assistance with administration and coordinating with book keeper and tax advisor.

Name: WEALTH EMPOWERMENT FINANCIAL STRATEGIES POSITION: Financial Advisor NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes # OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 10/11/2024 ADDRESS: 2424 N Federal Highway, Suite 400, Boca Raton FL 33431, United States DESCRIPTION: Help client's develop an investment strategy consistent with their goals and risk tolerance. For most clients, I act as their portfolio manager in a discretionary, advisory relationship.

Name; GRIMPE WEALTH MANAGEMENT POSITION: Manager NATURE: This is simply a pass-through LLC for my Wealth Empowerment / Kestra Financial practice. INVESTMENT RELATED: Yes # OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/10/2025 ADDRESS: 313 NE 2nd Court, Dania Beach FL 33004, United States DESCRIPTION: This is simply a pass-through LLC for my Wealth Empowerment / Kestra Financial practice.



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
Financial	2
Judgment/Lien	1

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 11
Action Date:	07/31/2024
Organization Name:	Blackpoint Capital LLC, d b/a Blackpoint Funding LLC
Individual Position:	Partner
Organization Investment-Related?	No
Type of Court:	Federal Court
Name of Court:	Southern District of Florida
Location of Court:	Fort Lauderdale, FL
Docket/Case #:	24-17836-SMG
Action Pending?	No
Disposition:	Discharge/Not applicable- Trustee was discharged but organization is not applicable/closed.
Disposition Date:	03/31/2025

Disclosure 2 of 2

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7



Action Date:	07/07/2025
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	Southern District of FL
Location of Court:	Broward County, FL
Docket/Case #:	5-17739-PDR
Action Pending?	No
Disposition:	Discharged
Disposition Date:	01/15/2026



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Warren Peebles
Judgment/Lien Amount:	\$200,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	06/12/2025
Date Individual Learned:	06/20/2025
Type of Court:	State Court
Name of Court:	17th Judicial Court
Location of Court:	Broward County, FL
Docket/Case #:	062024CA009031AXXXCE
Judgment/Lien Outstanding?	Yes



End of Report

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