



IAPD Report

CHRISTOPHER JAMES BRADSHAW

CRD# 2929353

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

CHRISTOPHER JAMES BRADSHAW (CRD# 2929353)

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 **10/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/03/2007
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	11/04/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	1717 CAPITAL MANAGEMENT COMPANY	4082	KINGS PARK, NY	12/10/2003 - 10/09/2007
B	VERAVEST INVESTMENTS, INC.	3960	WORCESTER, MA	08/20/1997 - 11/18/2003

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
Criminal	1
Customer Dispute	3
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 **24** 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 Principal	Approved	10/03/2007
B	FINRA	General Securities Representative	Approved	10/03/2007
B	FINRA	Invest. Co and Variable Contracts	Approved	10/03/2007
B	Alabama	Agent	Approved	04/29/2010
B	Arizona	Agent	Approved	02/26/2009
B	California	Agent	Approved	09/25/2014
B	Colorado	Agent	Approved	02/26/2009
B	Connecticut	Agent	Approved	01/18/2008
B	Delaware	Agent	Approved	10/03/2007
B	District of Columbia	Agent	Approved	07/02/2018
B	Florida	Agent	Approved	10/03/2007
B	Georgia	Agent	Approved	10/03/2007
B	Illinois	Agent	Approved	12/21/2010



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	06/19/2009
B Maryland	Agent	Approved	01/16/2014
B Massachusetts	Agent	Approved	10/03/2007
B New Jersey	Agent	Approved	10/03/2007
B New Mexico	Agent	Approved	07/09/2014
B New York	Agent	Approved	10/03/2007
B North Carolina	Agent	Approved	10/03/2007
B Ohio	Agent	Approved	01/20/2017
B Pennsylvania	Agent	Approved	10/03/2007
B South Carolina	Agent	Approved	10/31/2007
B Tennessee	Agent	Approved	02/19/2025
B Texas	Agent	Approved	10/03/2007
B Virginia	Agent	Approved	10/03/2007
B Washington	Agent	Approved	02/04/2015

Branch Office Locations

NFP ADVISOR SERVICES, LLC
 80 EAST MAIN ST
 KINGS PARK, NY 11754

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
IA	New York	Investment Adviser Representative	Approved	11/04/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
80 East Main St.
Kings Park, NY 11754




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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/26/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/09/2005
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/18/1997

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/03/2021
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/1997

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	12/10/2003 - 10/09/2007	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	KINGS PARK, NY
B	08/20/1997 - 11/18/2003	VERAVEST INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA

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
11/2021 - Present	Kestra Advisory Services, LLC	Investment Adviser Representative	Y	Kings Park, NY, United States
10/2007 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Kings Park, NY, United States
10/2007 - Present	NFP SECURITIES INC	REGISTERED REP	Y	KINOS PARK, NY, United States
12/2003 - Present	NATIONWIDE PROVIDENT	AGENT	Y	NEWARK, DE, United States
07/1997 - Present	ALLMERICA INVESTMENTS, INC.	NOT PROVIDED	Y	HAUPPAUGE, NY, United States
06/1997 - Present	ALLMERICA FINANCIAL	AGENT - Agent	N	HAUPPAUGE, 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: Main Street Financial Group Investment Related: Yes Address: 80 East Main Street Kings Park NY 11754 Nature of Business: Investment Advisory (RIA, IAR, Financial Planning, etc.) Position, Title or Relationship: Owner Start Date: 10/1/2004 Hours per month: 21% - 30% (33 - 48 hours) Hours per month during trading hours: 81% - 90% (113 - 126 hours) Duties: manage the firm, gather assets, build and foster client relationships

Business Name: Access Brokerage Investment Related: Yes Address: 14 Roosevelt Ave Port Jefferson Station NY 11776 Nature of Business: Insurance Position, Title or Relationship: Insurance Representative Start Date: 1/1/2015 Hours per month: 21% - 30% (33 - 48 hours) Hours per month during trading hours: 31% - 40% (43 - 56 hours) Duties: Review insurance options for clients, issue contract for client and service existing contracts

Business 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



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
Criminal	1
Customer Dispute	3
Judgment/Lien	1

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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	NAVAL CRIMINAL INVESTIGATIVE SERVICE (NIS) NEWPORT, RHODE ISLAND (USA) CHARGE: VIOLATION OF UCMJ ART 121 (GOV'T LARCENY OVER \$100)
Charge Date:	02/08/1990
Charge Details:	1. 1 COUNT 2. MISDEMEANOR 3. N/A 4. N/A
Felony?	No
Current Status:	Final
Status Date:	02/28/1990
Disposition Details:	A. MILITARY NON JUDICIAL PUNISHMENT B. 02/29/1990 C. DISMISSAL FROM SERVICE D. N/A E. 02/29/1990 F. \$690 G. 02/29/1990



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kestra Investment Services, LLC
Allegations:	The customer alleges unauthorized trading, poor performance and unsuitability by buying positions without customer approvals, purchasing C shares in long time horizon type accounts, particularly in a 529 and illiquid investments
Product Type:	Mutual Fund Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Could not be determined
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:	03/09/2018
Complaint Pending?	No
Status:	Denied
Status Date:	04/04/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NFP ADVISOR SERVICES, LLC
Allegations:	CLIENT ALLEGES, AMONG OTHER THINGS, THAT DISTRIBUTIONS SHE RECEIVED FROM AN INHERITED IRA IN 2014 WERE MADE TO HER WITHOUT HER AUTHORIZATION OR KNOWLEDGE.
Product Type:	No Product
Alleged Damages:	\$0.00



Alleged Damages Amount UNSPECIFIED, BUT BELIEVED TO BE ABOVE \$5,000.
Explanation (if amount not exact):

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: 04/02/2015

Complaint Pending? No

Status: Denied

Status Date: 04/30/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NFP SECURITIES

Allegations: COMPLAINT ALLEGES MISREPRESENTATION AND OTHER CAUSES OF ACTION IN CONNECTION WITH THE SALE OF A MEZZANINE FINANCING INVESTMENT IN 2008.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$300,000.00

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 #: 13-02418

Filing date of arbitration/CFTC reparation or civil litigation: 08/16/2013

Customer Complaint Information

Date Complaint Received: 08/27/2013

Complaint Pending? No

Status: Settled

Status Date: 07/09/2015



Settlement Amount:	\$140,000.00
Individual Contribution Amount:	\$0.00



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:	IRS
Judgment/Lien Amount:	\$141,680.96
Judgment/Lien Type:	Tax
Date Filed with Court:	07/17/2025
Date Individual Learned:	09/10/2025
Type of Court:	State Court
Name of Court:	Suffolk County
Location of Court:	Riverhead, NY
Docket/Case #:	520279125
Judgment/Lien Outstanding?	Yes
Broker Statement	As of 09/15/2025, the current balance is down to \$68,491 and will be paid in full by 12/31/2025.



End of Report

This page is intentionally left blank.