IAPD Report

NATHAN DONALD SEALEY

CRD# 2997307

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

NATHAN DONALD SEALEY (CRD# 2997307)

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 **04/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/17/2014
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/21/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	BURTON, MI	10/20/2014 - 09/22/2016
IA	NEXT FINANCIAL GROUP, INC.	46214	DAVISON, MI	04/09/2010 - 10/29/2014
B	NEXT FINANCIAL GROUP, INC.	46214	DAVISON, MI	09/30/2004 - 10/29/2014

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
Judgment/Lien	4

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 **33** 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	10/17/2014
B	FINRA	General Securities Representative	Approved	10/17/2014
B	FINRA	Municipal Fund	Approved	10/17/2014
B	FINRA	Registered Options Principal	Approved	10/17/2014
B	Alabama	Agent	Approved	10/17/2014
B	Arizona	Agent	Approved	10/17/2014
B	Arkansas	Agent	Approved	03/04/2024
B	California	Agent	Approved	10/17/2014
B	Colorado	Agent	Approved	02/01/2024
B	Florida	Agent	Approved	10/17/2014
B	Georgia	Agent	Approved	12/07/2023
B	Illinois	Agent	Approved	04/10/2015
B	Indiana	Agent	Approved	03/19/2024

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	12/01/2023
B	Kentucky	Agent	Approved	02/20/2024
B	Louisiana	Agent	Approved	02/26/2024
B	Maine	Agent	Approved	12/13/2023
B	Massachusetts	Agent	Approved	01/05/2024
B	Michigan	Agent	Approved	10/17/2014
B	Minnesota	Agent	Approved	01/05/2024
B	Nebraska	Agent	Approved	01/04/2024
B	Nevada	Agent	Approved	07/20/2021
B	New Jersey	Agent	Approved	01/05/2024
B	New York	Agent	Approved	10/17/2014
B	North Carolina	Agent	Approved	10/25/2018
B	Ohio	Agent	Approved	08/05/2020
B	Oklahoma	Agent	Approved	01/22/2024
B	Oregon	Agent	Approved	10/17/2014
B	Pennsylvania	Agent	Approved	12/22/2022
B	South Carolina	Agent	Approved	10/17/2014
B	Tennessee	Agent	Approved	11/03/2020
B	Texas	Agent	Approved	10/17/2014

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	03/12/2024
B	Vermont	Agent	Approved	12/15/2023
B	West Virginia	Agent	Approved	11/20/2023
B	Wisconsin	Agent	Approved	12/07/2023
B	Wyoming	Agent	Approved	02/21/2024

Branch Office Locations

NFP ADVISOR SERVICES, LLC
8415 DAVISON RD
DAVISON, MI 48423

NFP ADVISOR SERVICES, LLC
7300 DIXIE HWY
SUITE 800
CLARKSTON, MI 48346

NFP ADVISOR SERVICES, LLC
7026 W VIENNA RD
CLIO, MI 48420

NFP ADVISOR SERVICES, LLC
1390 N LEROY
FENTON, MI 48430

NFP ADVISOR SERVICES, LLC
799 HARRISON ST
LAPEER, MI 48446

NFP ADVISOR SERVICES, LLC
6243 W PIERSON RD G
FLUSHING, MI 48433

NFP ADVISOR SERVICES, LLC
600 S. SAGINAW ST
FLINT, MI 48502

NFP ADVISOR SERVICES, LLC
2303 S. CENTER RD
BURTON, MI 48519

NFP ADVISOR SERVICES, LLC
5072 CORUNNA RD
FLINT, MI 48532

NFP ADVISOR SERVICES, LLC
8125 SOUTH STATE ROAD
GOODRICH, MI 48438

NFP ADVISOR SERVICES, LLC
6019 Grande Point Blvd
Grand Blanc, MI 48439

NFP ADVISOR SERVICES, LLC
CLARKSTON, MI

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

Qualifications

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	04/21/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
799 HARRISON ST
LAPEER, MI 48446

KESTRA ADVISORY SERVICES, LLC
5072 CORUNNA RD
FLINT, MI 48532

KESTRA ADVISORY SERVICES, LLC
2305 S CENTER RD
BURTON, MI 48519

KESTRA ADVISORY SERVICES, LLC
7300 DIXIE HWY, SUITE 800
CLARKSTON, MI 48346

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1390 N LEROY ST
FENTON, MI 48430

KESTRA ADVISORY SERVICES, LLC
7026 W VIENNA RD
CLIO, MI 48420

KESTRA ADVISORY SERVICES, LLC
8415 DAVISON RD
DAVISON, MI 48423

KESTRA ADVISORY SERVICES, LLC
CLARKSTON, MI

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	02/21/2005
B	Municipal Fund Securities Principal Examination (S51)	Series 51	09/02/2004
B	General Securities Principal Examination (S24)	Series 24	11/10/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/26/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/26/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1998

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities

Administrators Association at http://www.nasaa.org

 Report about NATHAN DONALD SEALEY.

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	10/20/2014 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	BURTON, MI
IA	04/09/2010 - 10/29/2014	NEXT FINANCIAL GROUP, INC.	CRD# 46214	DAVISON, MI
B	09/30/2004 - 10/29/2014	NEXT FINANCIAL GROUP, INC.	CRD# 46214	DAVISON, MI
B	07/30/2002 - 10/01/2004	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	02/02/1998 - 07/18/2002	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	01/28/1998 - 02/10/1998	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH

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 ADVISOR REPRESENTATIVE	Y	CLIO, MO, United States
10/2014 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CLIO, MO, 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: Brass Ring Wealth Management, Inc. Investment Related: Yes Address: 7300 Dixie Hwy Ste. 800 Clarkston MI 48346 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: 1/1/2000 Hours per month: 51% - 60% (81 - 96 hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: Investment advisory services and securities and Insurance Sales and Service Business Name: Elga Wealth Management Investment Related: Yes Address: 8415 Davison Rd. Davison MI 48423 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: Partner Start Date: 1/1/2002 Hours per month: 31% - 40% (49 - 64 hours) Hours per month during trading hours: 31% - 40% (43 - 56 hours) Duties: Investment advisory services and securities and

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Insurance Sales and Service 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 Business Name: NDS Financial Services Investment Related: No Address: 7300 Dixie Hwy Ste. 800 Clarkston MI 48346 Nature of Business: Insurance   Position, Title or Relationship: Owner Start Date: 12/1/1998 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Insurance Sales and Service

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
Judgment/Lien	4

Judgment/Lien

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

Disclosure 1 of 4

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$129,066.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/27/2023
Date Individual Learned:	05/17/2024
Type of Court:	State Court
Name of Court:	Oakland County
Location of Court:	Pontiac, MI
Docket/Case #:	138986
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$145,923.00
Judgment/Lien Type:	Tax
Date Filed with Court:	11/02/2023
Date Individual Learned:	05/17/2024
Type of Court:	State Court
Name of Court:	Oakland County Court
Location of Court:	Oakland, MI

Docket/Case #:	481186823
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 4

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$306,727.20
Judgment/Lien Type:	Tax
Date Filed with Court:	01/25/2022
Date Individual Learned:	06/10/2022
Type of Court:	Federal Court
Name of Court:	Oakland County Court
Location of Court:	Oakland, MI
Docket/Case #:	303403
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 4

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$120,235.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/23/2015
Date Individual Learned:	10/13/2016
Type of Court:	Unknown
Name of Court:	Oakland County Register of Deeds
Location of Court:	Oakland, MI
Docket/Case #:	247974
Judgment/Lien Outstanding?	Yes
Broker Statement	I have been discussing outstanding tax bills and working with the IRS, an arbitrator, and my CPA to address the issue. A lien was discussed but I have not received notice of lien nor been contacted in more than 30 days.

End of Report

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