IAPD Report

VINCENT PAUL STURM

CRD# 3128214

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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

VINCENT PAUL STURM (CRD# 3128214)

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 **05/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	09/30/2020
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	09/30/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	BFC PLANNING, INC.	119682	Perry, IA	09/22/2016 - 09/30/2020
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	Perry, IA	09/07/2016 - 09/30/2020
B	LPL FINANCIAL LLC	6413	PERRY, IA	01/20/2016 - 08/29/2016

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
Termination	2

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 **21** 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	09/30/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	09/30/2020
B	FINRA	General Securities Principal	Approved	02/04/2022
B	Arizona	Agent	Approved	09/30/2020
B	Arkansas	Agent	Approved	10/08/2020
B	California	Agent	Approved	09/30/2020
B	Colorado	Agent	Approved	12/18/2020
B	Florida	Agent	Approved	09/30/2020
B	Georgia	Agent	Approved	10/09/2020
B	Illinois	Agent	Approved	11/18/2020
B	Iowa	Agent	Approved	10/05/2020
B	Kansas	Agent	Approved	09/30/2020
B	Louisiana	Agent	Approved	07/18/2024

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	10/07/2020
B	Michigan	Agent	Approved	01/28/2026
B	Minnesota	Agent	Approved	09/30/2020
B	Missouri	Agent	Approved	08/08/2024
B	Montana	Agent	Approved	08/06/2024
B	Nebraska	Agent	Approved	09/30/2020
B	Nevada	Agent	Approved	10/20/2020
B	New York	Agent	Approved	10/08/2020
B	Oklahoma	Agent	Approved	10/13/2020
B	Texas	Agent	Approved	05/20/2021
B	Wisconsin	Agent	Approved	02/18/2021

Branch Office Locations

NFP ADVISOR SERVICES, LLC
1126 2nd St
Perry, IA 50220

NFP ADVISOR SERVICES, LLC
12100 Meredith Dr Ste 103E
Urbandale, IA 50322

NFP ADVISOR SERVICES, LLC
Clive, IA

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	Iowa	Investment Adviser Representative	Approved	09/30/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	05/20/2021

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
1126 2nd St
Perry, IA 50220

KESTRA ADVISORY SERVICES, LLC
12100 Meredith Dr Ste 103E
URBANDALE, IA 50322

KESTRA ADVISORY SERVICES, LLC
Clive, IA

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
B	General Securities Principal Examination (S24)	Series 24	04/21/2003

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	12/21/2002
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/30/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/28/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/1998

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	09/22/2016 - 09/30/2020	BFC PLANNING, INC.	CRD# 119682	Perry, IA
B	09/07/2016 - 09/30/2020	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	Perry, IA
B	01/20/2016 - 08/29/2016	LPL FINANCIAL LLC	CRD# 6413	PERRY, IA
IA	01/22/2016 - 08/26/2016	VISIONPOINT ADVISORY GROUP	CRD# 168733	Perra, IA
IA	07/20/2011 - 02/24/2016	SUCCESSFUL RESOURCE MANAGEMENT, LTD.	CRD# 110317	URBANDALE, IA
B	11/29/2013 - 02/01/2016	INVESTACORP, INC.	CRD# 7684	URBANDALE, IA
B	02/25/2011 - 12/02/2013	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	PERRY, IA
IA	01/22/2009 - 03/02/2011	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LA VISTA, NE
B	01/22/2009 - 03/02/2011	SECURITIES AMERICA, INC.	CRD# 10205	WEST DES MOINES, IA
IA	01/02/2008 - 01/08/2009	WORKMAN SECURITIES CORPORATION	CRD# 31898	WEST DES MOINES, IA
B	03/22/2007 - 01/08/2009	WORKMAN SECURITIES CORPORATION	CRD# 31898	WEST DES MOINES, IA
IA	01/01/1999 - 03/21/2007	WADDELL & REED, INC.	CRD# 866	W. DES MOINES, IA
B	11/02/1998 - 03/21/2007	WADDELL & REED, INC.	CRD# 866	W. DES MOINES, IA

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
09/2020 - Present	Generations Wealth Advisors	Registered Rep / Investment Advisor	Y	Perry, IA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PERRY, IA, United States
09/2020 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PERRY, IA, United States
08/2016 - 09/2020	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	Perry, IA, United States
08/2016 - 09/2020	Berthel Fisher & Company Planning, Inc.	INVESTMENT ADVISER REPRESENTATIVE	Y	Perry, IA, United States
01/2016 - 08/2016	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	PERRY, IA, United States
01/2016 - 08/2016	VisionPoint Advisory Group, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Perra, IA, United States
11/1998 - 08/2016	SELF-EMPLOYED	INDEPENDENT INSURANCE AGENT	N	CLIVE, IA, 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: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Bldg 2 Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Financial Advisor Start Date: 9/30/2020 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: financial planning

Business Name: Generations Wealth Advisors Investment Related: Yes Address: 1401 WIllis Ave Perry IA 50220 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Owner Start Date: 3/12/2013 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: I help clients invest and save money for their goals. I do financial planning for clients, insurance coverage- Life LTC

Business Name: GWA PROPERTIES LLC POSITION: owner NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 05/01/2023 ADDRESS: 1126 2nd Street, P.O. Box 602, Perry IA 50220, United States DESCRIPTION: I am buying the building I currently rent. There are two other businesses that will be paying me rent once I close.

Business Name: PERRY IOWA CHAMBER OF COMMERCE FOUNDATION BOARD POSITION: board member NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2024 ADDRESS: 1124 Willis Avenue, Suite A, Perry IA 50220, United States DESCRIPTION: See above. Meet twice per year.

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
Termination	2

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Firm Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	08/15/2016
Allegations:	Violation of Firm policy regarding loan solicitation.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	LPL Financial, LLC
Termination Type:	Discharged
Termination Date:	08/26/2016
Allegations:	Violation of Firm Policy regarding loan solicitation.
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Firm
Firm Name:	VisionPoint Advisory Group, LLC
Termination Type:	Discharged
Termination Date:	08/26/2016
Allegations:	Violation of Firm policy regarding loan solicitation

Product Type:	No Product
Firm Statement	Representative solicited loan from client. No funds were received by representative and loan was not made.

Reporting Source:	Individual
Firm Name:	Vision Point Advisory Group, LLC
Termination Type:	Discharged
Termination Date:	08/26/2016
Allegations:	Violation of Firm policy regarding loan solicitation.
Product Type:	No Product

End of Report

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