



IAPD Report

CHRISTOPHER P FERRARA

CRD# 4036895

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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

CHRISTOPHER P FERRARA (CRD# 4036895)

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 **06/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	12/01/2015
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/20/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	AUSTIN, TX	12/08/2015 - 09/22/2016
IA	ROCKWELL GLOBAL ADVISORS, LLC	126601	MELVILLE, NY	07/10/2014 - 12/14/2015
B	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY	02/26/2007 - 12/14/2015

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
Termination	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 **20** 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	12/01/2015
B	FINRA	General Securities Representative	Approved	12/01/2015
B	FINRA	Municipal Securities Principal	Approved	12/01/2015
B	FINRA	Municipal Securities Representative	Approved	12/01/2015
B	Arizona	Agent	Approved	12/01/2015
B	California	Agent	Approved	12/01/2015
B	Connecticut	Agent	Approved	12/15/2015
B	Florida	Agent	Approved	12/01/2015
B	Georgia	Agent	Approved	12/01/2015
B	Illinois	Agent	Approved	12/01/2015
B	Maine	Agent	Approved	12/01/2015
B	Massachusetts	Agent	Approved	12/01/2015
B	Missouri	Agent	Approved	12/01/2015



Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	01/10/2024
B	New Jersey	Agent	Approved	12/01/2015
B	New York	Agent	Approved	12/01/2015
B	North Carolina	Agent	Approved	12/01/2015
B	Oklahoma	Agent	Approved	12/01/2015
B	Pennsylvania	Agent	Approved	01/22/2021
B	Rhode Island	Agent	Approved	05/05/2026
B	South Carolina	Agent	Approved	12/01/2015
B	Tennessee	Agent	Approved	06/02/2026
B	Utah	Agent	Approved	06/15/2021
B	Virginia	Agent	Approved	02/13/2020

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
Firm ID#: 283330

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	06/07/2021



Qualifications

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

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	02/23/2007
	General Securities Principal Examination (S24)	Series 24	03/30/2004

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/30/1999

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/2011
 	Uniform Combined State Law Examination (S66)	Series 66	03/01/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	12/08/2015 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	AUSTIN, TX
IA	07/10/2014 - 12/14/2015	ROCKWELL GLOBAL ADVISORS, LLC	CRD# 126601	MELVILLE, NY
B	02/26/2007 - 12/14/2015	ROCKWELL GLOBAL CAPITAL LLC	CRD# 142485	MELVILLE, NY
B	05/20/2005 - 07/02/2007	ADVANCED PLANNING SECURITIES, INC.	CRD# 14382	MELVILLE, NY
B	12/20/2003 - 05/20/2005	NATIONS FINANCIAL GROUP, INC.	CRD# 44181	CEDAR RAPIDS, IA
B	07/08/2002 - 12/18/2003	ARCHER ALEXANDER SECURITIES CORPORATION	CRD# 41555	KANSAS CITY, MO
B	12/01/1999 - 07/12/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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	KINGS PARK, NY, United States
11/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	KINGS PARK, 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: Bartow Insurance Agency Investment Related: Yes Address: 62 S Second St Deer Part NY 11729 Nature of Business: Insurance Position, Title or Relationship: commissioned Sales person Start Date: 1/1/2009 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: No obligations Business Name: Bradford Solutions, INC Investment Related: No Address: 75 West Islip Rd West Islip NY 11795 Nature of Business: Other Other/None of the Above there are no activities performed Position, Title or Relationship: President Start Date: 7/1/2009 Hours



Registration & Employment History



OTHER BUSINESS ACTIVITIES

per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Financial reporting, tax reporting, monthly payroll

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: Main Street Financial Investment Related: Yes Address: 80 E. Main Street Kings Park NY 11754 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: Financial Advisor, Investment advisor representative Start Date: 12/1/2015 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: gathering and managing clients accounts, gathering new assets

Business Name: CHRISTOPHER FERRARA/AMP STRATEGIES POSITION: representative NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 03/10/2023 ADDRESS: 75 W. Islip Rd, West Islip NY 11795 DESCRIPTION: No obligation to the general agency. Only when there is opportunity on a fixed annuity or life or health insurance situation



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
Termination	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:	Individual
Employing firm when activities occurred which led to the complaint:	Kestra Investment Services, LLC
Allegations:	Claimants allege misinformation regarding the risk of the investment, that interest isn't being placed in the correct account and poor performance of the variable annuity.
Product Type:	Annuity-Variable
Alleged Damages:	\$90,208.32
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:	09/22/2018
Complaint Pending?	No
Status:	Settled
Status Date:	05/12/2020
Settlement Amount:	\$35,000.00



Individual Contribution Amount:	\$35,000.00
Broker Statement	Mr. Ferrara elected to settle with the client to close the matter.



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 1

Reporting Source:	Individual
Firm Name:	MERRILL LYNCH
Termination Type:	Discharged
Termination Date:	06/24/2002
Allegations:	EMPLOYMENT WAS TERMINATED ON JUNE 24, 2002 WHEN THE FIRM LEARNED THAT HE SUBMITTED INACCURATE AND ALTERED DOCUMENTATION TO SUPPORT A REQUEST FOR EDUCATIONAL REIMBURSEMENT TO WHICH HE OTHERWISE WOULD HAVE BEEN ENTITLED.
Product Type:	No Product
Other Product Types:	
Broker Statement	TERMINATION TOOK PLACE WHEN I CHANGED AN EXPENSE ACCOUNT RECORD IN ORDER TO RECEIVE A DELAYED REIMBURSEMENT THAT I WAS ENTITLED TO. THERE WERE NO CLIENTS INVOLVED THIS WAS STRICTLY AN INTERNAL ISSUE



End of Report

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