



## IAPD Report

# SCOTT ERIC TOBE

CRD# 4264479

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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

### SCOTT ERIC TOBE (CRD# 4264479)

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 **10/01/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	08/08/2005
<b>IA</b>	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/20/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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>IA</b>	SIGNATURE SELECT WEALTH	306143	PITTSBURGH, PA	01/14/2020 - 09/30/2025
<b>IA</b>	NFP ADVISOR SERVICES, LLC	42046	PITTSBURGH, PA	03/12/2009 - 09/22/2016
<b>B</b>	COMMONWEALTH FINANCIAL NETWORK	8032	WALTHAM, MA	12/06/2002 - 08/09/2005

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



## 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 **39** 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>B</b>	FINRA	General Securities Representative	Approved	08/08/2005
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	08/08/2005
<b>B</b>	Alabama	Agent	Approved	04/20/2017
<b>B</b>	Arizona	Agent	Approved	11/03/2005
<b>B</b>	California	Agent	Approved	08/08/2005
<b>B</b>	Colorado	Agent	Approved	08/08/2005
<b>B</b>	Connecticut	Agent	Approved	11/23/2021
<b>B</b>	Delaware	Agent	Approved	08/01/2006
<b>B</b>	District of Columbia	Agent	Approved	08/08/2005
<b>B</b>	Florida	Agent	Approved	08/08/2005
<b>B</b>	Georgia	Agent	Approved	09/08/2005
<b>B</b>	Hawaii	Agent	Approved	02/07/2019
<b>B</b>	Idaho	Agent	Approved	08/13/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Illinois	Agent	Approved	08/08/2005
<b>B</b> Indiana	Agent	Approved	09/18/2009
<b>B</b> Kentucky	Agent	Approved	09/22/2022
<b>B</b> Maine	Agent	Approved	09/22/2022
<b>B</b> Maryland	Agent	Approved	11/03/2005
<b>B</b> Massachusetts	Agent	Approved	08/08/2005
<b>B</b> Michigan	Agent	Approved	08/31/2006
<b>B</b> Minnesota	Agent	Approved	03/12/2021
<b>B</b> Nebraska	Agent	Approved	04/05/2006
<b>B</b> Nevada	Agent	Approved	11/03/2005
<b>B</b> New Hampshire	Agent	Approved	08/08/2005
<b>B</b> New Jersey	Agent	Approved	11/11/2005
<b>B</b> New Mexico	Agent	Approved	11/03/2005
<b>B</b> New York	Agent	Approved	08/08/2005
<b>B</b> North Carolina	Agent	Approved	08/08/2005
<b>B</b> Ohio	Agent	Approved	07/25/2006
<b>B</b> Oklahoma	Agent	Approved	11/20/2012
<b>B</b> Oregon	Agent	Approved	04/06/2011
<b>B</b> Pennsylvania	Agent	Approved	08/08/2005



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	11/03/2005
<b>B</b> Tennessee	Agent	Approved	11/03/2005
<b>B</b> Texas	Agent	Approved	08/26/2005
<b>B</b> Utah	Agent	Approved	04/22/2024
<b>B</b> Virginia	Agent	Approved	09/09/2005
<b>B</b> Washington	Agent	Approved	05/14/2007
<b>B</b> West Virginia	Agent	Approved	06/20/2006
<b>B</b> Wisconsin	Agent	Approved	04/18/2020
<b>B</b> Wyoming	Agent	Approved	08/16/2006

### Branch Office Locations

**NFP ADVISOR SERVICES, LLC**  
 525 William Penn Place  
 Ste 3401  
 PITTSBURGH, PA 15219

**NFP ADVISOR SERVICES, LLC**  
 PITTSBURGH, PA

### 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
<b>IA</b> Pennsylvania	Investment Adviser Representative	Approved	04/20/2016

### Branch Office Locations

**KESTRA ADVISORY SERVICES, LLC**  
 525 William Penn Place



## Qualifications

Suite 3401  
PITTSBURGH, PA 15219

**KESTRA ADVISORY SERVICES, LLC**  
PITTSBURGH, PA



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/26/2002
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/2001

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	10/04/2004
Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/2000

### 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	01/14/2020 - 09/30/2025	SIGNATURE SELECT WEALTH	CRD# 306143	PITTSBURGH, PA
IA	03/12/2009 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	PITTSBURGH, PA
B	12/06/2002 - 08/09/2005	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	WALTHAM, MA
B	01/31/2001 - 11/19/2002	PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP	CRD# 7325	BOSTON, 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
12/2019 - Present	SIGNATURE SELECT WEALTH, LLC	Managing Member and Investment Advisor Representative	Y	PITTSBURGH, PA, United States
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	Investment Advisor Representative	Y	PITTSBURGH, PA, United States
08/2005 - Present	KESTRA INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	PITTSBURGH, PA, United States
11/2002 - Present	Signature Financial Planning	Principal, President and Chief Executive Officer	Y	PITTSBURGH, PA, United States
03/2009 - 09/2016	NFP ADVISOR SERVICES, LLC.	Investment Advisor Representative	Y	PITTSBURGH, PA, 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.

BN: SIGNATURE VENTURES, LLC POS: Mmbr Investor NOB: Private Equity Investing INVST REL: N #OF HRS: 8 SEC TRADING HRS: 7 STRT DTE: 11/01/2020 ADRS: 1301 Grandview Ave, Pittsburgh PA 15211, US DESC No duties or obligations beyond participating in the sourcing & screening of the opps

BN:Signature Fusion Angel Investments, LLC Invst Rel:Y Adr: 1301 Granview ave ste 300 Pittsburgh PA 15211 NOB: Angel investing Title: Mmbr Strt Dte:6/1/11 Hrs/mth:0-16 Duts: Marc & I go to mtngs &decide what we want to invest in.

BN:Kestra Advisory Services, LLC Invst Rel:Y Adr: 5707 Southwest Pkwy Bldng 2, Ste 400 Austin, TX 78735 NOB: Investm Advisory srvc thru Kestra Advisory Srvc, LLC Title: Investm Advisor Rep Strt Dte:4/4/16 Hrs/ mo: Up to 100% (0-160



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

hrs)Duts:Invstmnt advisory srvc

BN: Entrepreneurs org Invst Rel: N Adr: 500 Montgomery St Alexandria VA 22314 NOB: networking group Title: Board Mmbr Strt Dte: 1/30/15 Hrs/mth: 0-16 Duts: network w/other busi owners POS: null NOB: null INVST REL:N DESC: null

BN: BALTO LLC POS: mmbr NOB: invst vehicle for private equity INVST REL:Y #OF HRS:0 SEC TRADING HRS:0 STRT DTE:3/25/2022 ADR: 1403 Freeport Road, Cheswich PA 15024 DESC: No specific duties, angel investor only

BN: D2T LLC POS: mmbr NOB: angel investing INVST REL: N # OF HRS: 0 SEC TRADING HRS: 0 STRT DTE: 02/11/2020 ADR: 1301 Grandview Ave Ste 300, Pittsburgh PA 15211 DESC: Strictly angel investor

BN: SIGNATURE FINANCIAL PLANNING POSITION: CEO NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes # OF HOURS: 152 SECURITIES TRADING HOURS: 132 START DATE: 11/02/2002 ADDRESS: 525 William Penn Place, suite 3401, Pittsburgh PA 15219 DESCRIPTION: To run the firm as well as to be a financial advisor

BN: SIGNATURE WEALTH POSITION: CEO NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes # OF HOURS: 152 SECURITIES TRADING HOURS: 132 START DATE: 11/02/2002 ADDRESS: 525 William Penn Place, suite 3401, Pittsburgh PA 15219 DESCRIPTION: To run the firm as well as to be a financial advisor

BN: SIGNATURE LEGACY HOLDINGS LLC POSITION: member NATURE: Holding company for KF stock. INVESTMENT RELATED: Yes # OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2025 ADDRESS: 525 William Penn Place, suite 3401, Pittsburgh PA 15219, United States DESCRIPTION: General Member



## 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

### 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Kestra Investment Services, LLC
<b>Allegations:</b>	Client alleges lack of understanding regarding investment fee structure and performance net of fees.
<b>Product Type:</b>	Real Estate Security Other: Alternative Investments
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Complaint was received on 6/29/17. No compensatory damages were alleged. Client was concerned with fees, which were industry average, between 2-7%, for such investments. Client subsequently withdrew the complaint on 7/21/17 once the fees were explained again.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/29/2017
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn
<b>Status Date:</b>	07/21/2017



**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

This complaint was withdrawn by customer [REDACTED] and he indicated in an email that his letter to the firm was intended as (and noted so) a "Private and Confidential" communication. Client stated that it should not be construed as a formal complaint. This is a case where customer [REDACTED] sought clarification on his investments, their fees, and their characteristics, and was fully satisfied after receiving this information.



## End of Report

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