IAPD Report

JOHN GEORGE KALLIS

CRD# 4366410

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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

JOHN GEORGE KALLIS (CRD# 4366410)

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 **12/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	11/16/2018
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	12/18/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	MWM ADVISORY	166411	LOUISVILLE, KY	05/01/2014 - 05/07/2019
B	LPL FINANCIAL LLC	6413	LOUISVILLE, KY	01/22/2010 - 11/20/2018
IA	LPL FINANCIAL LLC	6413	LOUISVILLE, KY	01/22/2010 - 09/08/2016

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
Regulatory Event	1
Termination	1

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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 **23** 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	11/16/2018
B	FINRA	General Securities Sales Supervisor	Approved	11/16/2018
B	Arizona	Agent	Approved	12/19/2018
B	California	Agent	Approved	09/22/2020
B	Colorado	Agent	Approved	01/16/2019
B	Florida	Agent	Approved	12/13/2018
B	Georgia	Agent	Approved	12/03/2018
B	Illinois	Agent	Approved	11/20/2018
B	Indiana	Agent	Approved	01/08/2019
B	Kentucky	Agent	Approved	12/18/2018
B	Michigan	Agent	Approved	11/16/2018
B	Minnesota	Agent	Approved	05/09/2019
B	Montana	Agent	Approved	08/12/2021

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Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	02/09/2022
B	New Jersey	Agent	Approved	05/11/2021
B	New Mexico	Agent	Approved	02/08/2021
B	New York	Agent	Approved	11/16/2018
B	North Carolina	Agent	Approved	01/08/2019
B	Ohio	Agent	Approved	11/16/2018
B	Pennsylvania	Agent	Approved	11/16/2018
B	Tennessee	Agent	Approved	10/30/2024
B	Texas	Agent	Approved	11/21/2018
B	Virginia	Agent	Approved	12/19/2024
B	West Virginia	Agent	Approved	03/19/2019
B	Wisconsin	Agent	Approved	11/16/2018

Branch Office Locations

NFP ADVISOR SERVICES, LLC
10200 Forest Green Blvd.
Suite 100
Louisville, KY 40223

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

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Qualifications

	Regulator	Registration	Status	Date
IA	Kentucky	Investment Adviser Representative	Approved	12/18/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
10200 Forest Green Blvd.
Suite 100
Louisville, KY 40223

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/08/2007
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/20/2006

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	05/08/2001

State Securities Law Exams

		Exam	Category	Date
IA	B	Uniform Combined State Law Examination (S66)	Series 66	05/31/2001

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	05/01/2014 - 05/07/2019	MWM ADVISORY	CRD# 166411	LOUISVILLE, KY
B	01/22/2010 - 11/20/2018	LPL FINANCIAL LLC	CRD# 6413	LOUISVILLE, KY
IA	01/22/2010 - 09/08/2016	LPL FINANCIAL LLC	CRD# 6413	LOUISVILLE, KY
IA	10/01/2002 - 01/27/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LOUISVILLE, KY
B	05/09/2001 - 01/27/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LOUISVILLE, KY

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
11/2018 - Present	Kestra Advisory Services, LLC	Investment Adviser Representative	Y	Louisville, KY, United States
11/2018 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Louisville, KY, United States
01/2010 - 05/2019	MERITRUST WEALTH MANAGEMENT	CHIEF COMPLIANCE OFFICER	Y	LOUISVILLE, KY, United States
01/2010 - 05/2019	MWM ADVISORY	INVESTMENT ADVISOR	Y	LOUISVILLE, KY, United States
01/2010 - 11/2018	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	LOUISVILLE, KY, 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: JJ Hollis LLC Investment Related: No Address: 13307 Magisterial Dr Louisville KY 40223 Nature of Business: Real Estate Position, Title or Relationship: I'm a 50/50 owner in LLC which owns the real estate. Have no involvement in business operation of restaurant. Start Date: 6/1/2015 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: NoneBusiness Name: Meritrust Wealth Management Investment Related: Yes Address: 462 S. Fourth St Louisville KY 40202 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Partner Chief Operating Officer

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

Financial Advisor Start Date: 2/1/2010 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: Provide financial services, including brokerage and advisory, to clients of our firm.Business Name: Kestra Advisory Services Investment Related: Yes Address: 5707 Southwest Parkway, Building 2, Ste 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Financial Advisor. Partner of firm. Start Date: 2/1/2010 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: I provide investment management services and advice to my clients. As a partner in the firm I participate in firm initiatives and firm objectives both internal and external.

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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.

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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
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 07/01/2020

Docket/Case Number: 2018060587401

Employing firm when activity occurred which led to the regulatory action: LPL Financial

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Kallis consented to the sanctions and to the entry of findings that he participated in private securities transactions without providing prior written notice to his member firm. The findings stated that Kallis solicited investors, one of whom was a customer of the firm and both of whom were long-time friends, to each purchase interests in a limited liability company formed to invest in a minor league professional soccer team. Kallis participated in additional investments by both investors in the company. In the aggregate, both investors invested a total of $95,141.20. Kallis participated by, among other things, providing the investors with the subscription agreement and other written materials and by communicating with them verbally and by email to discuss the investments. Kallis did not receive any compensation for soliciting the investments, nor did he represent or otherwise suggest that the investments had been approved by the firm. However, Kallis failed to provide the firm with prior notice or obtain the firm's advance approval before participating, as required. The findings also stated that Kallis incorrectly answered no on firm compliance questionnaires that asked him whether he had participated in any private securities transactions away from the

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	firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/01/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

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(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	08/03/2020
End Date:	09/16/2020

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/20/2020
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Fines paid in full on July 20, 2020.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	07/01/2020
Docket/Case Number:	2018060587401

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Employing firm when activity occurred which led to the regulatory action:	LPL Financial
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Kallis consented to the sanctions and to the entry of findings that he participated in private securities transactions without providing prior written notice to his member firm. The findings stated that Kallis solicited investors, one of whom was a customer of the firm and both of whom were long-time friends, to each purchase interests in a limited liability company formed to invest in a minor league professional soccer team. Kallis participated in additional investments by both investors in the company. In the aggregate, both investors invested a total of $95,141.20. Kallis participated by, among other things, providing the investors with the subscription agreement and other written materials and by communicating with them verbally and by email to discuss the investments. Kallis did not receive any compensation for soliciting the investments, nor did he represent or otherwise suggest that the investments had been approved by the firm. However, Kallis failed to provide the firm with prior notice or obtain the firm's advance approval before participating, as required. The findings also stated that Kallis incorrectly answered no on firm compliance questionnaires that asked him whether he had participated in any private securities transactions away from the firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/01/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	08/03/2020
End Date:	09/16/2020
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	

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Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

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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:	Firm
Firm Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	11/16/2018
Allegations:	Violation of Firm outside business activity and private securities transaction policy for failure to timely disclose.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	11/16/2018
Allegations:	Violation of Firm outside business activity and private securities transaction policy for failure to timely disclose.
Product Type:	No Product

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End of Report

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