



IAPD Report

JON CHRISTOPHER VINGE

CRD# 4445831

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

JON CHRISTOPHER VINGE (CRD# 4445831)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	06/06/2023
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	06/07/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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	INTERVEST INTERNATIONAL, INC.	111516	Seattle, WA	08/14/2007 - 06/06/2023
B	INTERVEST INTERNATIONAL EQUITIES CORPORATION	20289	Seattle, WA	08/13/2007 - 06/06/2023
IA	CENTARA CAPITAL MANAGEMENT GROUP, INC.	114880	SAN DIEGO, CA	05/09/2006 - 08/15/2007

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	3



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 **38** 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	Invest. Co and Variable Contracts	Approved	06/06/2023
B Alabama	Agent	Approved	08/17/2023
B Alaska	Agent	Approved	06/14/2023
B Arizona	Agent	Approved	08/02/2023
B California	Agent	Approved	06/06/2023
B Colorado	Agent	Approved	09/07/2023
B District of Columbia	Agent	Approved	08/17/2023
B Florida	Agent	Approved	09/25/2023
B Georgia	Agent	Approved	06/08/2023
B Hawaii	Agent	Approved	11/14/2025
B Idaho	Agent	Approved	06/22/2023
B Illinois	Agent	Approved	02/14/2025
B Iowa	Agent	Approved	09/08/2023



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	08/23/2023
B Maryland	Agent	Approved	08/22/2023
B Massachusetts	Agent	Approved	06/14/2023
B Michigan	Agent	Approved	07/03/2023
B Minnesota	Agent	Approved	08/21/2023
B Missouri	Agent	Approved	11/15/2023
B Montana	Agent	Approved	08/21/2023
B Nevada	Agent	Approved	08/29/2023
B New Hampshire	Agent	Approved	08/30/2023
B New Jersey	Agent	Approved	08/23/2023
B New Mexico	Agent	Approved	09/04/2024
B New York	Agent	Approved	04/07/2026
B North Carolina	Agent	Approved	08/23/2023
B Ohio	Agent	Approved	06/07/2023
B Oregon	Agent	Approved	08/09/2023
B Pennsylvania	Agent	Approved	08/18/2023
B Rhode Island	Agent	Approved	07/12/2023
B South Carolina	Agent	Approved	08/24/2023
B South Dakota	Agent	Approved	08/17/2023



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	08/17/2023
B Texas	Agent	Approved	08/01/2023
B Utah	Agent	Approved	09/29/2023
B Virginia	Agent	Approved	08/17/2023
B Washington	Agent	Approved	08/17/2023
B Wisconsin	Agent	Approved	08/17/2023
B Wyoming	Agent	Approved	06/26/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC
Seattle , WA

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 Texas	Investment Adviser Representative	Restricted Approval	06/07/2023
IA Washington	Investment Adviser Representative	Approved	08/17/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
Seattle, WA



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/20/2001

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	07/11/2005
Uniform Securities Agent State Law Examination (S63)	Series 63	10/08/2001

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	08/14/2007 - 06/06/2023	INTERVEST INTERNATIONAL, INC.	CRD# 111516	Seattle, WA
B	08/13/2007 - 06/06/2023	INTERVEST INTERNATIONAL EQUITIES CORPORATION	CRD# 20289	Seattle, WA
IA	05/09/2006 - 08/15/2007	CENTARA CAPITAL MANAGEMENT GROUP, INC.	CRD# 114880	SAN DIEGO, CA
B	05/09/2006 - 08/15/2007	CENTARA CAPITAL SECURITIES, INC.	CRD# 130702	SAN DIEGO, CA
IA	09/02/2005 - 05/04/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SAN DIEGO, CA
B	09/21/2001 - 05/04/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SAN DIEGO, CA
IA	07/12/2005 - 09/02/2005	FIRST COMMAND BANK	CRD# 128851	FORT WORTH, TX

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
06/2023 - Present	Kestra Advisory Services, LLC	Investment Advisory Rep	Y	Seattle, WA, United States
06/2023 - Present	Kestra Investment Services, LLC	Registered Rep	Y	Seattle, WA, United States
05/2006 - Present	CENTARA CAPITAL	REP	Y	SAN DIEGO, CA, United States
05/2006 - Present	CENTARA CAPITAL MANAGEMENT GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, CA, United States
08/2007 - 06/2023	INTERVEST INTERNATIONAL EQUITIES CORP	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States



Registration & Employment History



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.

Name: BE FINANCIALLY SOUND POSITION: RR NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 05/22/2023 ADDRESS: 4724 W. RUFFNER ST, SEATTLE WA 98199, United States DESCRIPTION: RR

Name: KESTRA ADVISORY SERVICES LLC POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 05/22/2023 ADDRESS: 5707 SW Pkwy, Blg 2, STE 400, Austin TX 78735, United States DESCRIPTION: IAR

NAME: THE CYCLE SANCTUARY POSITION: Owner and favorite student of the instructors NATURE: Indoor cycle and fitness studio INVESTMENT RELATED: No # OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2023 ADDRESS: 2420 NW Market St, Seattle WA 98107, United States DESCRIPTION: I am only a participant in the classes and the studio "mascot". I don't do anything towards the everyday management and running of the studio. This is my wife's project and dream.



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INTERVEST INTERNATIONAL EQUITIES CORP.
Allegations:	Claimant alleges violations of federal & State securities laws, breach of fiduciary duties and negligence, breach of contract, common law fraud, failure to supervise, misrepresentation and omissions, unsuitable investments and failure to act in the best interest of the client.
Product Type:	Other: GWG L Bonds & GK Bonds
Alleged Damages:	\$701,211.32

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-01398
Date Notice/Process Served:	03/01/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/27/2024
Monetary Compensation Amount:	\$17,000.00



Individual Contribution Amount: \$17,000.00

Firm Statement Products were explained in detail to the client. During the course of the working relationship the clients portfolio was diversified to meet investment objectives and compliance requirements. Only \$111,713.57 of this arbitration involves Mr Vinge's client.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORPORATION

Allegations: Claimant [REDACTED] alleges violations of federal & State securities laws, breach of fiduciary duties and negligence, breach of contract, common law fraud, failure to supervise, misrepresentation and omissions, unsuitable investments and failure to act in the best interest of the client.

Product Type: Other: GWG L-Bond , GK Bonds

Alleged Damages: \$701,211.32

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [22-01398](#)

Date Notice/Process Served: 03/01/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/27/2024

Monetary Compensation Amount: \$17,000.00

Individual Contribution Amount: \$17,000.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORP.

Allegations: Claimant(s) allege Breach of Fiduciary Duty, Suitability, misrepresentations and omissions, violation of FINRA rules and failure to supervise .

Product Type: Other: GWG L-Bond

Alleged Damages: \$183,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes



Arbitration/Reparation forum or court name and location: Washington DC

Docket/Case #: 22+02096

Filing date of arbitration/CFTC reparation or civil litigation: 09/13/2022

Customer Complaint Information

Date Complaint Received: 09/27/2022

Complaint Pending? No

Status: Settled

Status Date: 10/31/2023

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORP.

Allegations: Claimant(s) allege Breach of Fiduciary Duty, Suitability, misrepresentations and omissions, violation of FINRA rules and failure to supervise .

Product Type: Other: GWG L-Bonds

Alleged Damages: \$183,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: Washington DC

Docket/Case #: 22-02096

Filing date of arbitration/CFTC reparation or civil litigation: 09/13/2022

Customer Complaint Information

Date Complaint Received: 09/27/2022

Complaint Pending? No

Status: Settled

Status Date: 10/31/2023

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00



Broker Statement Products were explained in detail to the clients. In over a decade of working with the clients portfolio was diversified to meet investment objectives and compliance requirements.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORPORATION

Allegations: Claimant(s) allege Breach of Fiduciary Duty, Suitability, Material misrepresentations and omitted material information, violation of FINRA rules, failure to supervise and breach of contract.

Product Type: Other: GWG L-Bonds

Alleged Damages: \$373,000.00

Alleged Damages Amount Explanation (if amount not exact): Two reps named in this arbitration.
Jon Vinge - Damages \$90,000
Jon Ellefson - Damages \$283,000

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: Jacksonville, FL

Docket/Case #: 22-01406

Filing date of arbitration/CFTC reparation or civil litigation: 06/23/2022

Customer Complaint Information

Date Complaint Received: 06/28/2022

Complaint Pending? No

Status: Withdrawn

Status Date: 05/02/2023

Settlement Amount:

Individual Contribution Amount:

Broker Statement Products were explained in detail to the clients. In over a decade of working with the clients portfolio was diversified to meet investment objectives and compliance requirements. Only \$75,000 of this arbitration involves Mr. Vinge's clients.

Mr. Vinge's clients, in this case, voluntarily withdrew their claim.



End of Report

This page is intentionally left blank.