IAPD Report

DONALD GRANT

CRD# 4505447

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

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

DONALD GRANT (CRD# 4505447)

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 **01/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	10/03/2016
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/14/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	CAREY, THOMAS, HOOVER & BREAULT ADVISORS	155330	WICHITA, KS	08/16/2013 - 12/31/2016
B	CAREY, THOMAS, HOOVER, & BREAULT, INC.	38367	WICHITA, KS	08/16/2013 - 10/17/2016
B	MORGAN STANLEY	149777	WICHITA, KS	06/01/2009 - 09/04/2013

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 **24** 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	10/14/2016
B	Alabama	Agent	Approved	12/16/2019
B	Arizona	Agent	Approved	07/24/2017
B	Arkansas	Agent	Approved	10/14/2016
B	California	Agent	Approved	10/14/2016
B	Colorado	Agent	Approved	10/14/2016
B	Connecticut	Agent	Approved	07/24/2017
B	Florida	Agent	Approved	10/14/2016
B	Iowa	Agent	Approved	01/23/2025
B	Kansas	Agent	Approved	10/14/2016
B	Louisiana	Agent	Approved	07/24/2017
B	Maryland	Agent	Approved	10/14/2016
B	Michigan	Agent	Approved	10/14/2016

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	06/06/2022
B	Missouri	Agent	Approved	10/14/2016
B	Nebraska	Agent	Approved	07/24/2017
B	Nevada	Agent	Approved	05/17/2018
B	North Carolina	Agent	Approved	07/25/2017
B	Ohio	Agent	Approved	07/24/2017
B	Oklahoma	Agent	Approved	10/14/2016
B	Texas	Agent	Approved	10/14/2016
B	Utah	Agent	Approved	07/24/2017
B	Virginia	Agent	Approved	07/24/2017
B	Washington	Agent	Approved	07/18/2023
B	Wisconsin	Agent	Approved	10/29/2021

Branch Office Locations

NFP ADVISOR SERVICES, LLC
1223 North Rock Rd
Suite G300
Wichita, KS 67206

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	Kansas	Investment Adviser Representative	Approved	10/03/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
1223 North Rock Rd
Suite G300
Wichita, KS 67206

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	02/18/2005
B	General Securities Representative Examination (S7)	Series 7	03/20/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	08/16/2013 - 12/31/2016	CAREY, THOMAS, HOOVER & BREAULT ADVISORS	CRD# 155330	WICHITA, KS
B	08/16/2013 - 10/17/2016	CAREY, THOMAS, HOOVER, & BREAULT, INC.	CRD# 38367	WICHITA, KS
B	06/01/2009 - 09/04/2013	MORGAN STANLEY	CRD# 149777	WICHITA, KS
IA	06/01/2009 - 09/04/2013	MORGAN STANLEY	CRD# 149777	WICHITA, KS
IA	04/22/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WICHITA, KS
B	03/21/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WICHITA, KS

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
10/2016 - Present	Kestra Advisory Services,LLC	Investment Adviser Representative	Y	Wichita, KS, United States
10/2016 - Present	Kestra Investment Services, LLC	Registered Rep	Y	Wichita, KS, United States
08/2013 - 09/2016	CAREY, THOMAS, HOOVER & BREAULT ADVISORS	Registered Representative	Y	WICHITA, KS, 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.

Busi Name: OrgO LLC Inv Rel: N Address: 7 E Swallow Lane Wichita KS 67230 NOB: Other /None of the Above unused at this time POS: principal Strt Date: 4/23/2015 Hrs/mo: 0% - 10% (0 - 16 hrs) Hrs/mo during trading hrs: 0% - 10% (0 - 14 hrs) Duties: nothing yet other than creator of LLC
Busi Name: Donald Samuelson Inv Rel: N Address: 7 E Swallow Lane Wichita KS 67230 NOB: Real Estate POS: Owner and manager Strt Date: 2/15/2006 Hrs /mo: 0% - 10% (0 - 16 hrs) Hrs /mo during trading hrs: 0% - 10% (0 - 14 hrs) Duties: I maintain and manage three residential rental properties
Busi Name: Wichita Wagonmasters Inv Rel: N Address: 1865 W Museum Bl Wichita KS 67203 NOB: Board Position (Board of Directors, Board of Trustees, etc.) POS: Board Member Start Date: 12/4/2003 Hrs/mo: 0% - 10% (0 - 16 hrs) Hrs/mo during

Registration & Employment History

OTHER BUSINESS ACTIVITIES

trading hrs: 0% - 10% (0 - 14 hrs) Duties: guide the organization in it's purpose
Busi Name: Carey,Thomas, Hoover and Breault Advisors Inv Rel: Y Address: 8080 E Central Suite 200 Wichita KS 67206 NOB: Investment Advisory services through an independent outside RIA POS: Certified Financial Planner and Investment Advisor Start Date: 8/16/2013 Hrs /mo: 100%+ (More than 160 hrs) Hrs /mo during trading hrs: Up to 100% (0 to 160 hrs) Duties: provide financial planning and securities investment guidance
Busi Name: FORTIS ADVISORS LLC POS: Member NOB: Investment advisory services through Kestra Advisory Services, LLC INV REL: Y #OF HRS: 1 SECURITIES TRADING HRS: 1 START DATE: 10/25/2021 ADDRESS: 8080 E Central, Suite 200, wichita KS 67206m DESC: LLC was created solely for the purpose for accounts payable, payroll and vendor contracts (copier, phone, wifi, etc...)
Busi Name: KESTRA ADVISORY SERVICES POS: Investment Advisor NOB: Investment advisory services through Kestra Advisory Services, LLC INV REL: Y #OF HRS: 10 SECURITIES TRADING HRS: 35 START DATE: 02/15/2022 ADDRESS: 8080 E Central, Suite 200, Wichita KS 67206 DESC: construct and maintain investment allocations for clients
Busi Name: DON SAMUELSON AS LANDLORD - RENTAL PROPERTIES POS: owner NOB: Real Estate INV REL: Yes #OF HRS: 3 SECURITIES TRADING HRS: 0 START DATE: 02/15/2022 ADDRESS: 133 S Oakwood Street, Wichita KS 67218 DESC: I maintain and lease residential properties
Busi Name: SABRE WEALTH POS: partner/investment advisor NOB: Registered rep activities through Kestra Investment Services INV REL: Y #OF HRS: 120 SECURITIES TRADING HOURS: 32 START DATE: 01/03/2023 ADDRESS: 1223 N Rock Road, Suite G300, Wichita KS 67206 DESC: I will provide investment advisory and financial planning services to current clients.

Busi Name: NSF PARTNERS, LLC POS: investor NOB: Real Estate INV REL: Y #OF HRS: 2 SECURITIES TRADING HOURS: 0 START DATE: 04/14/2023 ADDRESS: 114 N St Francis, Wichita KS 67208 DESC: confer with investor partners for the best use of the commercial property.

Busi Name: 1211 PARTNERS, LLC POS: investor NOB: Real Estate INV REL: Y #OF HRS: 2 SECURITIES TRADING HOURS: 0 START DATE: 04/14/2023 ADDRESS: 1211 E Douglas Ave, Wichita KS 67208 DESC: I have invested personal assets, and work equally with other investment partners to make decisions on maintenance of the property.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Carey, Thomas, Hover and Breault, Inc.
Allegations:	Claimant alleges that, during the time frame 2013 - 2015 Mr. Grant misrepresented the risks associated with Non-Traded REITs.
Product Type:	Other: Non Traded REIT
Alleged Damages:	$93,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-00930
Filing date of arbitration/CFTC reparation or civil litigation:	04/01/2020

Customer Complaint Information

Date Complaint Received:	04/01/2020
Complaint Pending?	No

Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/01/2020
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-00930
Date Notice/Process Served:	04/01/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/17/2020
Monetary Compensation Amount:	$35,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Claimant dismissed his claims against me prior to settlement and I did not make a contribution towards settlement.

End of Report

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