



IAPD Report

Amy Michelle Dunham

CRD# 4697272

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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

Amy Michelle Dunham (CRD# 4697272)

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 **08/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	03/11/2025
IA	KESTRA PRIVATE WEALTH SERVICES, LLC	CRD# 155193	03/11/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	EDWARD JONES	250	GRIFFIN, GA	04/10/2008 - 03/12/2025
B	EDWARD JONES	250	GRIFFIN, GA	03/28/2008 - 03/12/2025
IA	1717 CAPITAL MANAGEMENT COMPANY	4082	FAYETTEVILLE, GA	07/31/2007 - 03/25/2008

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 **17** 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	03/11/2025
B	Alabama	Agent	Approved	03/11/2025
B	California	Agent	Approved	03/11/2025
B	Florida	Agent	Approved	03/11/2025
B	Georgia	Agent	Approved	03/11/2025
B	Illinois	Agent	Approved	03/11/2025
B	Indiana	Agent	Approved	03/11/2025
B	Kansas	Agent	Approved	03/12/2025
B	Kentucky	Agent	Approved	03/11/2025
B	Maryland	Agent	Approved	03/11/2025
B	Michigan	Agent	Approved	03/12/2025
B	New York	Agent	Approved	08/19/2025
B	North Carolina	Agent	Approved	03/14/2025



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	03/12/2025
B	Tennessee	Agent	Approved	03/11/2025
B	Texas	Agent	Approved	03/11/2025
B	Virginia	Agent	Approved	03/12/2025
B	Wisconsin	Agent	Approved	06/23/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC

409 Airport Rd
Suite 101
Griffin, GA 30224

Employment 2 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BLDG. 2 STE 400
AUSTIN, TX 78735
Firm ID#: 155193

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	03/14/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/11/2025

Branch Office Locations

KESTRA PRIVATE WEALTH SERVICES, LLC

409 Airport Rd
Suite 102
Griffin, GA 30224



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
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No information reported.

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	11/21/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/01/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/08/2004



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	04/10/2008 - 03/12/2025	EDWARD JONES	CRD# 250	GRIFFIN, GA
B	03/28/2008 - 03/12/2025	EDWARD JONES	CRD# 250	GRIFFIN, GA
IA	07/31/2007 - 03/25/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	FAYETTEVILLE, GA
B	04/22/2005 - 03/25/2008	NATIONWIDE SECURITIES, INC.	CRD# 11173	FAYETTEVILLE, GA
IA	12/01/2004 - 01/03/2005	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	ATLANTA, GA
B	11/24/2003 - 01/03/2005	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ

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
01/2025 - Present	KESTRA PRIVATE WEALTH SERVICES, LLC	Investment Advisor	Y	St. Louis, MO, United States
01/2025 - Present	Kestra Investment Services LLC	Registered Representative	Y	St. Louis, MO, United States
03/2008 - 01/2025	EDWARD JONES	FINANCIAL ADVISOR	Y	ST. LOUIS, MO, 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.

Bus Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Bus Name: SPALDING COUNTY ELECTIONS POSITION: Asst Poll Mger NATURE: Voting Poll Worker INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2022 ADDRESS: 825 Memorial Dr, Griffin GA 30224, United States DESCRIPTION: Help with maintaining and ethical and legal voting poll and asset voters in casting their ballot

Bus Name: HUNTER DUNHAM RACING LLC POSITION: Secretary NATURE: Motorcycle Racing Team INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 05/23/2019



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: Current I just help Tony & Hunter make sure deposits are made and bills are paid.

Bus Name: INSPIRED WEALTH PARTNERS POSITION: Financial Advisor NATURE: Insurance INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025
ADDRESS: 118 N Expressway, Griffin GA 30223, United States DESCRIPTION: Help with planning & management of client financial accounts

Bus Name: TAYLOR HOLDINGS GROUP POSITION: Owner NATURE: LLC for tax purposes INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/02/2025
ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: report income for tax purposes

Bus Name: J TAYLOR HOLDINGS LLC POSITION: owner NATURE: Real Estate INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2025
ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: own and maintain building

Bus Name: FIVE LOAVES AND TWO FISH FOOD PANTRY POSITION: Chairman of the Board NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2010 ADDRESS: 412 W Slaton Ave, Griffin GA 30223, United States DESCRIPTION: Chairman of the board overseeing the day to day operation with the board. Our Director reports to me for anything daily that needs to be handled

Bus Name: KIWANIS CLUB OF GRIFFIN POSITION: Finance Committee, Fair board member NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 12 SECURITIES TRADING HOURS: 1 START DATE: 09/09/2014 ADDRESS: 1025 S Hill St, Griffin GA 30224, United States DESCRIPTION: With a committee and a board we make financial decision for the club. How to raise money for our community projects and invest the funds of the club for service projects, scholarships and the fair.

Bus Name: INSPIRED WEALTH PLANNING POSITION: Financial Advisor NATURE: Insurance INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025
ADDRESS: 118 N Expressway, Griffin GA 30223, United States DESCRIPTION: Help with planning & management of client financial accounts



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: EDWARD JONES

Allegations: CLIENT ALLEGES, IN MAY, HE INSTRUCTED THE FA TO SELL APPLE STOCK AND ADVISED HER THAT HE WAS TRYING TO BUILD A CASH POSITION. HE THEN INTENDED ON TRANSFERRING THE ACCOUNT(S) TO ANOTHER FA. CLIENT INDICATES THE FA INSTEAD INVESTED THE APPLE PROCEEDS INTO LORD ABBETT FUNDS. CLIENT CONTACTED THE FA ABOUT CORRECTING THE SITUATION AND IT WAS DISCOVERED THE LORD ABBETT FUNDS WERE UP IN VALUE; THEREFORE, HE PROVIDED INSTRUCTIONS TO SELL THE MUTUAL FUNDS AND TRANSFER THE ACCOUNTS TO THE NEW FA. CLIENT STATES THE MUTUAL FUNDS WERE NOT SOLD, BUT THE ACCOUNTS WERE TRANSFERRED TO THE NEW FA. CLIENT STATES HE HAS TRIED VERY HARD TO WORK WITH THE FA TO CORRECT THIS SITUATION; HOWEVER, SHE HAS CONSISTENTLY FAILED TO RETURN HIS CALL AND COMPLETED THE TRANSACTIONS HE HAS REQUESTED. CLIENT BELIEVES RESTORING THE CASH BALANCE IN HIS ACCOUNT TO \$155,593.15 AND HIS WIFE'S ACCOUNT OF \$157,678.86 WILL RESOLVE THIS MATTER. LOSSES EXCEED \$5,000.00 - FILING REQUIRED.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5,000

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: 08/24/2011

Complaint Pending? No

Status: Settled

Status Date: 11/14/2011

Settlement Amount: \$11,865.28

**Individual Contribution
Amount:** \$0.00

Broker Statement

THE FA HAS ACCEPTED RESPONSIBILITY FOR THIS ISSUE AND SOME CORRECTIVE ACTION(S) WERE TAKEN. TECHNICALLY, IN ORDER TO CORRECT THE TRADES IN QUESTION, THE MUTUAL FUND PURCHASES SHOULD HAVE BEEN CANCELLED WHICH WOULD HAVE RESULTED IN THE ORIGINAL AMOUNTS INVESTED BEING RETURNED TO THE ACCOUNT. INSTEAD, THE MUTUAL FUNDS WERE SOLD. BASED ON A COMPARISON OF THE PRICES RECEIVED AT THE TIME OF THE LIQUIDATIONS VERSUS THE PRICES OF THE FUNDS ON JULY 26, 2011 (THE DATE IT APPEARS THE CLIENTS INTENDED ON LIQUIDATING), WE ARE EXTENDING THE FOLLOWING SETTLEMENT OFFERS TO THE CLIENTS: HUSBAND'S SRI ACCOUNT - \$959.88, WIFE'S SRI ACCOUNT - \$129.44, HUSBAND'S ROTH ACCOUNT - \$3,228.02 AND WIFE'S ROTH ACCOUNT - \$3,861.05. CLIENTS HAVE THIRTY DAYS IN WHICH TO RESPOND TO THE OFFERS. SENT AMENDED OFFERS TO THE CLIENTS ON 10/25/2011. CLIENTS HAVE THIRTY DAYS IN WHICH TO RESPOND. CLIENTS REJECTED INITIAL OFFERS AND AMENDED OFFERS WERE EXTENDED. CLIENTS ACCEPTED CASH SETTLEMENT OFFERS IN THE TOTAL AMOUNT OF \$11,865.28 AS WELL AS THE CANCELLATION OF THE JUNE 27, 2011 PURCHASES OF SOUTHERN CO IN EACH OF THE ROTH ACCOUNTS AT NO LOSS TO THEM. COMPLAINT RESOLVED.



End of Report

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