



IAPD Report

SCOTT ANTHONY LOPRESTI

CRD# 5002405

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6



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

SCOTT ANTHONY LOPRESTI (CRD# 5002405)

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 **06/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	04/03/2024
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/03/2024

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
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	OSSINING, NY	09/15/2022 - 04/03/2024
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	OSSINING, NY	09/15/2022 - 04/03/2024
IA	LPL FINANCIAL LLC	6413	CROTON ON HUDSON, NY	08/03/2021 - 09/23/2022

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?

No



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	04/03/2024
B	California	Agent	Approved	04/17/2024
B	Connecticut	Agent	Approved	04/03/2024
B	Delaware	Agent	Approved	04/03/2024
B	District of Columbia	Agent	Approved	06/10/2025
B	Florida	Agent	Approved	04/03/2024
B	Georgia	Agent	Approved	04/17/2024
B	Illinois	Agent	Approved	04/03/2024
B	Massachusetts	Agent	Approved	04/03/2024
B	New Jersey	Agent	Approved	04/03/2024
B	New York	Agent	Approved	04/03/2024
B	North Carolina	Agent	Approved	04/08/2024
B	Ohio	Agent	Approved	04/03/2024



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	04/03/2024
B Pennsylvania	Agent	Approved	04/03/2024
B Rhode Island	Agent	Approved	04/03/2024
B South Carolina	Agent	Approved	04/03/2024
B Texas	Agent	Approved	04/03/2024

Branch Office Locations

NFP ADVISOR SERVICES, LLC

200 Executive Blvd
Suite C
Ossining, NY 10562

NFP ADVISOR SERVICES, LLC

200 Executive Blvd
Ste C
Ossining, NY 10562

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 New York	Investment Adviser Representative	Approved	04/03/2024

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC

200 Executive Blvd
Suite C
Ossining, NY 10562



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 1 state securities law exam.

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 General Securities Representative Examination (S7)	Series 7	02/11/2009
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/26/2006

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/02/2006



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
B	09/15/2022 - 04/03/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	OSSINING, NY
IA	09/15/2022 - 04/03/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	OSSINING, NY
IA	08/03/2021 - 09/23/2022	LPL FINANCIAL LLC	CRD# 6413	CROTON ON HUDSON,
B	07/17/2017 - 09/23/2022	LPL FINANCIAL LLC	CRD# 6413	CROTON ON HUDSON,
B	05/06/2009 - 08/08/2017	AMERITAS INVESTMENT CORP.	CRD# 14869	MELVILLE, NY
B	07/16/2007 - 05/15/2009	METLIFE SECURITIES INC.	CRD# 14251	GARDEN CITY, NY
B	05/29/2006 - 07/06/2007	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	PEEKSKILL, NY

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
03/2024 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REP	Y	CROTON ON HUDSON, NY, United States
03/2024 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REP	Y	CROTON ON HUDSON, NY, United States
09/2022 - 03/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	CROTON ON HUDSON, NY, United States
05/2004 - 03/2024	LOPRESTI ENTERPRISES INC	OWNER	Y	CROTON ON HUDSON, NY, United States
07/2017 - 09/2022	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	CROTON ON HUDSON, NY, United States
05/2009 - 07/2017	AMERITAS INVESTMENT CORP	REGISTERED REP/IAR	Y	LINCOLN, NE, United States
05/2009 - 07/2017	AMERITAS LIFE INSURANCE	LICENSED AGENT	Y	LINCOLN, NE, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2009 - 07/2017	AMERITAS LIFE INSURANCE CORP OF NEW YORK	LICENSED AGENT	Y	NEW YORK, NY, United States
04/2009 - 07/2017	DIPAOLA FINANCIAL GROUP	AGENT	Y	WHITE PLAINS, NY, 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: LODI WEALTH ADVISORS POSITION: President/Owner NATURE: Insurance INVESTMENT RELATED: Yes
NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 1600 START DATE: 09/23/2022 ADDRESS: 15 Fox Run Road,
Croton on Hudson NY 10520, United States DESCRIPTION: I am the primary owner and also an advisor

Business Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra
Advisory Services, LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START
DATE: 03/27/2024
ADDRESS: 5707 Southwest Parkway, Building 2 Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Business Name: RECTANGLE HEALTH POSITION: Chief Administrative Officer NATURE: Healthcare Technology INVESTMENT
RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 10 START DATE: 02/01/2013 ADDRESS: 115 E
Stevens Avenue, Suite 300, Valhalla NY 10595, United States DESCRIPTION: I am a partial owner and I assist in strategic
decisions and the day to day of the business.



End of Report

This page is intentionally left blank.