# IAPD Report

# JAMES BRIAN HEBETS II

CRD# 5369475

# 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

## JAMES BRIAN HEBETS II (CRD# 5369475)

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 **06/25/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | KESTRA INVESTMENT SERVICES, LLC | CRD# 42046 | 05/29/2012 |
| IA | KESTRA ADVISORY SERVICES, LLC | CRD# 283330 | 05/06/2016 |

## 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 | NFP ADVISOR SERVICES, LLC | 42046 | AUSTIN, TX | 09/15/2015 - 09/22/2016 |
| B | METLIFE SECURITIES INC. | 14251 | TEMPE, AZ | 07/25/2011 - 05/24/2012 |

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 |
|---|---|
| Criminal | 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 | Invest. Co and Variable Contracts | Approved | 05/29/2012 |
| B | Arizona | Agent | Approved | 09/24/2012 |
| B | California | Agent | Approved | 02/01/2013 |
| B | Colorado | Agent | Approved | 04/18/2024 |
| B | Connecticut | Agent | Approved | 12/16/2019 |
| B | Delaware | Agent | Approved | 09/21/2018 |
| B | District of Columbia | Agent | Approved | 08/12/2025 |
| B | Florida | Agent | Approved | 03/11/2021 |
| B | Georgia | Agent | Approved | 08/14/2025 |
| B | Hawaii | Agent | Approved | 08/14/2019 |
| B | Illinois | Agent | Approved | 04/13/2020 |
| B | Indiana | Agent | Approved | 12/01/2020 |
| B | Kentucky | Agent | Approved | 11/25/2020 |

 

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Maryland | Agent | Approved | 12/26/2018 |
| B | Massachusetts | Agent | Approved | 05/31/2024 |
| B | Michigan | Agent | Approved | 06/30/2026 |
| B | New Jersey | Agent | Approved | 04/07/2020 |
| B | New Mexico | Agent | Approved | 10/15/2024 |
| B | New York | Agent | Approved | 12/03/2018 |
| B | North Carolina | Agent | Approved | 08/13/2018 |
| B | Ohio | Agent | Approved | 11/24/2020 |
| B | Oregon | Agent | Approved | 10/18/2019 |
| B | Vermont | Agent | Approved | 07/23/2021 |
| B | Virginia | Agent | Approved | 10/11/2022 |
| B | Washington | Agent | Approved | 06/26/2023 |

### Branch Office Locations

**NFP ADVISOR SERVICES, LLC**
2575 E CAMELBACK RD
SUITE 700
PHOENIX, AZ 85016

**NFP ADVISOR SERVICES, LLC**
PARADISE VALLEY, AZ

## 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 | Arizona | Investment Adviser Representative | Approved | 05/06/2016 |

### Branch Office Locations

**KESTRA ADVISORY SERVICES, LLC**
2575 E CAMELBACK RD
SUITE 700
PHOENIX, AZ 85016

**KESTRA ADVISORY SERVICES, LLC**
PARADISE VALLEY, AZ

# 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 |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 07/22/2011 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 09/10/2015 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/23/2011 |

## PROFESSIONAL DESIGNATIONS

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

No information reported.

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 | 09/15/2015 - 09/22/2016 | NFP ADVISOR SERVICES, LLC | CRD# 42046 | AUSTIN, TX |
| B | 07/25/2011 - 05/24/2012 | METLIFE SECURITIES INC. | CRD# 14251 | TEMPE, AZ |

## 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 |
|---|---|---|---|---|
| 04/2016 - Present | KESTRA ADVISORY SERVICES, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | PHOENIX, AZ, United States |
| 05/2012 - Present | KESTRA INVESTMENT SERVICES, LLC | REGISTERED REP | Y | PHOENIX, AZ, 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.

Name: Future For Kids (Non-Profit) Investment Related: No Address: 6991 E Camelback Rd. Ste. D301 Scottsdale AZ 85251 Nature of Business: Community/Charitable/Civic Position, Title or Relationship: Board Member Start Date: 8/15/2012 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: - qtly board meetings - Assist in organizing fund raising events - Volunteer at academic & sports camp

Name: Comp Consulting, LLC DBA NFP - The Hebets Investment Related: Yes Address: 2575 East Camelback Road, Suite 700 Phoenix AZ 85016 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name Position, Title or Relationship: Vice President of the company. Start Date: 5/15/2012 Hours per month: 81% - 90% 130 Hours per month during trading hours: 91% - 100% (130 hours) Duties: Meeting with clients to discuss various insurance and investment products that meet their individual needs.

Name: Hebets Financial, LLC Investment Related: No Address: 2575 East Camelback Road, Suite 700 Phoenix AZ 85016 Nature of Business: Insurance Position, Title or Relationship: This is simply a company that my life insurance commissions are paid into 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: This is simply a company that my life insurance commissions are paid into

Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Investment Advisor Representative Start Date: 4/4/2016 Hours per month: Up to 100% (0 to 160 hours) Hours per month during trading hours: Up to 100% (160 hours) Duties: Investment advisory services

Name: FAST LANE DRIVE ARIZONA POSITION: Partner Owner NATURE: Exotic Car & Social Club for Entrepreneurs INVESTMENT RELATED: No # OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2024 ADDRESS: 7326 E Evans Rd, Ste E, Scottsdale AZ 85260 DESCRIPTION: Assist in planning events for our members throughout the year such as car rallies, social events, trips, networking events, etc.

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

Name: FINSECA FOUNDATION POSITION: Board Member NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 01/02/2023 ADDRESS: 600 13th Street, NW, Suite 550, Washington DC 20005 Descrip: 4-8 meetings per year (mostly virtual), annual conference, fundraising activities & other miscellaneous items.
Name: HONOR HEALTH FOUNDATION BOARD OF TRUSTEES POSITION: Board of Trustees NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2024 ADDRESS: 8125 Hayden Road, Scottsdale AZ 85260 DESCRIPTION: Qtly Board Meetings & eventually serve on at least one committee.
Name: CHILDHELP USA POSITION: Associate Board Member NATURE: Board position (Board of Directors) INVESTMENT RELATED: No # OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 03/07/2025 ADDRESS: 6730 N. Scottsdale Rd, Suite 150, Scottsdale AZ 85253, United States DESCRIPTION: associate board member

Name: LIFE MASTERS CLASSES, LLC POSITION: I am the owner and CEO of this business. NATURE: Lead Generation, Event Planning, Education Content Creation & Marketing Business INVESTMENT RELATED: No # OF HOURS: 40 SECURITIES TRADING HOURS: 10 START DATE: 02/26/2018 ADDRESS: 3219 E Camelback Rd, #258, Phoenix AZ 85018, United States DESCRIPTION: My duties are to lead the team in all of their lead generation, education generation and marketing efforts as described above. These efforts lead to life insurance commission revenue from the cases / clients worked on and managed at The Hebets Company.

 

# 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 |
|---|---|
| Criminal | 1 |

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Formal Charges were brought in:** | State Court |
| **Name of Court:** | THE SUPERIOR COURT OF THE STATE OF ARIZONA |
| **Location of Court:** | MARICOPA COUNTY - MESA AZ |
| **Docket/Case #:** | CR2008-144863-002 SE |
| **Charge Date:** | 07/24/2008 |
| **Charge(s) 1 of 1** | |
| **Formal Charge(s)/Description:** | COUNT 1 - BURGLARY IN THE THIRD DEGREE: A CLASS 4 FELONY |
| **No of Counts:** | 1 |
| **Felony or Misdemeanor:** | Felony |
| **Plea for each charge:** | NOT GUILTY |
| **Disposition of charge:** | Amended |
| **Date of Amended Charge:** | 09/17/2008 |
| **Charge was Amended or reduced to:** | AMENDED CHARGE - COUNT 1:THEFT, A CLASS 1 MISDEMEANOR |
| **Amended No of Counts:** | 1 |
| **Amended Charge:** | Misdemeanor |
| **Amended Plea:** | GUILTY |
| **Disposition of Amended Charge:** | Pled guilty |
| **Current Status:** | Final |

| | |
|---|---|
| **Status Date:** | 10/27/2008 |
| **Disposition Date:** | 09/17/2008 |
| **Sentence/Penalty:** | I WAS FINED $1510.00 BY THE COURTS, WHICH I PAID ON 9/17/2008. I WAS PUT ON PROBATION FOR 1 YEAR WHICH I COMPLETED. THE CASE IS COMPLETELY TAKEN CARE OF . |
| **Broker Statement** | WHILE PLEDGING IN A FRATERNITY AT ASU I WENT TO A CONSTRUCTION SITE AND TOOK WHAT I THOUGHT WAS SCRAP WOOD, TO BUILD BARS FOR A PARTY. I FOUND OUT LATER THAT IT WAS NOT SCRAP WOOD AND WAS CHARGED WITH THEFT. |

## End of Report

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