



IAPD Report

SHIRAZ SYED ZAIDI

CRD# 5956510

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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

SHIRAZ SYED ZAIDI (CRD# 5956510)

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 **10/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	04/06/2015
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/26/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	04/07/2015 - 09/22/2016
IA	J.P. MORGAN SECURITIES LLC	79	MEDFORD, NY	03/11/2014 - 03/24/2015
B	J.P. MORGAN SECURITIES LLC	79	MEDFORD, NY	10/01/2012 - 03/24/2015

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
Termination	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 **34** 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	04/06/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	04/06/2015
B	Alabama	Agent	Approved	03/14/2019
B	Arizona	Agent	Approved	08/26/2016
B	California	Agent	Approved	04/06/2015
B	Colorado	Agent	Approved	03/12/2019
B	Connecticut	Agent	Approved	04/06/2015
B	Delaware	Agent	Approved	11/02/2015
B	District of Columbia	Agent	Approved	03/11/2019
B	Florida	Agent	Approved	04/06/2015
B	Georgia	Agent	Approved	10/23/2015
B	Idaho	Agent	Approved	06/30/2021
B	Illinois	Agent	Approved	09/08/2015



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	03/12/2019
B Louisiana	Agent	Approved	08/20/2025
B Maine	Agent	Approved	10/15/2025
B Maryland	Agent	Approved	03/14/2019
B Massachusetts	Agent	Approved	11/09/2018
B Michigan	Agent	Approved	03/07/2018
B Minnesota	Agent	Approved	03/12/2019
B Nebraska	Agent	Approved	03/11/2019
B Nevada	Agent	Approved	06/12/2017
B New Jersey	Agent	Approved	04/06/2015
B New York	Agent	Approved	04/06/2015
B North Carolina	Agent	Approved	11/20/2016
B Ohio	Agent	Approved	03/11/2019
B Pennsylvania	Agent	Approved	04/07/2015
B Rhode Island	Agent	Approved	03/21/2019
B South Carolina	Agent	Approved	03/13/2019
B Tennessee	Agent	Approved	08/20/2025
B Texas	Agent	Approved	05/13/2015
B Utah	Agent	Approved	03/12/2019



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	10/28/2015
B Washington	Agent	Approved	11/05/2015
B West Virginia	Agent	Approved	09/22/2025
B Wisconsin	Agent	Approved	09/03/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC
 7600 Jericho Turnpike
 Suite 302
 Woodbury, NY 11797

NFP ADVISOR SERVICES, LLC
 1303 Main Street
 Port Jefferson, NY 11777

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	06/07/2021
IA Texas	Investment Adviser Representative	Restricted Approval	10/16/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
 414 MAIN STREET, SUITE 302,
 PORT JEFFERSON, NY 11777

KESTRA ADVISORY SERVICES, LLC
 330 SUNRISE HIGHWAY
 ROCKVILLE CENTRE, NY 11570



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
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No information reported.




General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/06/2014
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/12/2011

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	02/27/2014
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/22/2011

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	04/07/2015 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	AUSTIN, TX
IA	03/11/2014 - 03/24/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	MEDFORD, NY
B	10/01/2012 - 03/24/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	MEDFORD, NY
B	08/15/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BELLPORT, 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
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	WOODBURY, NY, United States
04/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
03/2015 - Present	COASTLINE WEALTH MANAGEMENT	REGISTERED REP	Y	PORT JEFFERSON, 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.

Bus Name: COASTLINE WEALTH MANAGEMENT POS: Financial Advisor. NOB: Registered rep activities through Kestra Investment Services INV REL: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 132 START DATE: 03/30/2015 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESC: Sales and financial planning.

Bus Name: Kestra Advisory Services, LLC INV REL: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 NOB: Investment Advisory services through Kestra Advisory Services, LLC POS: Investment Advisor Representative Start Date: 4/4/2016 Hours per month: Up to 100% 0 to 160 hours/ month during trading hours: Up to 100% Duties: Investment advisory services

Bus Name: Shiraz Zaidi INV REL: No Address: 3015 Watchill Ave Medford NY 11763 NOB: Real Estate POS: Owner. Start Date: 12/10/2017 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Own and manage rental property.

Bus Name: DMSZ, INC. INV REL: Yes Address: 12 MEROKE LN ROCKY POINT NY 11778 NOB: Consulting POS: 50% Partner. Start Date: 9/17/2018 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: All applicable duties.

Bus Name: Garrett Taylor and Shiraz Zaidi INV REL: No Address: 2507 Maneshaw Lane Kissimmee FL 34747 NOB: Real Estate



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POS: Owner Start Date: 6/15/2019 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: All duties related to owning real estate.

Bus Name: 1303 Main, LLC INV REL: No Address: 1303 Main Street Port Jefferson NY 11777 NOB: Real Estate POS: Member Start Date: 8/15/2020 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours)

Duties: Landlord

Bus Name: Coastline Holdings Group, LLC INV REL: Yes Address: 414 Main St Suite 302 Port Jefferson NY 11777 NOB: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Investment Advisory services through an independent outside RIA POS: MEMBER Start Date: 12/28/2020 Hours per month: 51% - 60% (81 - 96 hours) Hours per month during trading hours: 41% - 50% (57 - 70 hours) Duties: MANAGEMENT, INVESTMENT ADVICE AND FINANCIAL PLANNING

Bus Name: 7 CLAW LLC POSITION: Member NATURE: Real Estate INV REL: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 05/02/2022 ADDRESS: 1303 Main St, Port Jefferson NY 11777, United States DESC: Equal ownership and management

Bus Name: SPRINT MY RIDE LLC POSITION: Member NATURE: Limo/Transportation INV REL: No # OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/08/2022 ADDRESS: 1303 Main St, Port Jefferson NY 11777 DESC: Logistics

Bus Name: BATTAGLINI & COMPANY, P.C. SUPERCPA POSITION: Partner NATURE: Tax/Accounting/CPA INV REL: No # OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 02/01/2023 ADDRESS: 1049 Lancaster Ave, Berwyn PA 19312 DESC: Chief Operations Officer

Bus Name: ST. JAMES REAL ESTATE PROPERTY POS: Owner NOB: Real Estate INV REL: Yes # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2024 ADDRESS: 286 North Bicycle Path, Selden NY 11784 DESC: All applicable duties of an owner

Bus Name: CWM MERGER SUB LLC POS: MEMBER NOB: Invest adv services through an independent outside RIA INV REL: Yes # OF HOURS: 88 SECURITIES TRADING HOURS: 63 START DATE: 10/07/2024 ADDRESS: 1303 Main St, Port Jefferson NY 11777 DESC: MANAGEMENT, INVESTMENT ADVICE AND FINANCIAL PLANNING

Bus Name: COASTLINE WM PARENT LLC POSITION: Member NATURE: Holding Company INVESTMENT RELATED: No # OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/07/2024 ADDRESS: 1303 Main St, Port Jefferson NY 11777 DESCRIPTION: All applicable member duties

Bus Name: PORT JEFF REAL ESTATE PROPERTY POSITION: Owner NATURE: Real Estate INVESTMENT RELATED: Yes # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 03/15/2025 ADDRESS: 286 North Bicycle Path, Selden NY 11784, United States DESCRIPTION: All applicable duties of an owner



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: J.P. MORGAN SECURITIES LLC

Termination Type: Discharged

Termination Date: 02/25/2015

Allegations: NON-SECURITIES RELATED. REGISTERED REP FILED A FALSE FRAUD CLAIM ON HIS PERSONAL CREDIT CARD. REGISTERED REP STATED THAT HE DID NOT RECOGNIZE THE CHARGES.

Product Type: Banking Products (other than CDs)

Reporting Source: Individual

Firm Name: J.P. MORGAN SECURITIES LLC

Termination Type: Discharged

Termination Date: 02/25/2015

Allegations: NON-SECURITIES RELATED. REGISTERED REP FILED A FALSE FRAUD CLAIM ON HIS PERSONAL CREDIT CARD. REGISTERED REP STATED THAT HE DID NOT RECOGNIZE THE CHARGES.

Product Type: Banking Products (other than CDs)



End of Report

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