



## IAPD Report

# Brandon James Grocki

CRD# 6458365

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

**i** 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

### Brandon James Grocki (CRD# 6458365)

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 **04/10/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	02/17/2026
<b>IA</b>	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	02/17/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>IA</b>	HORNOR, TOWNSEND & KENT, LLC	4031	TINTON FALLS, NJ	05/07/2018 - 02/17/2026
<b>B</b>	HORNOR, TOWNSEND & KENT, LLC	4031	TINTON FALLS, NJ	04/17/2018 - 02/17/2026
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	MIDDLETOWN, NJ	10/26/2016 - 02/15/2018

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 **19** 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>B</b>	FINRA	General Securities Representative	Approved	02/17/2026
<b>B</b>	Arizona	Agent	Approved	02/17/2026
<b>B</b>	Colorado	Agent	Approved	02/17/2026
<b>B</b>	Connecticut	Agent	Approved	02/17/2026
<b>B</b>	Delaware	Agent	Approved	02/20/2026
<b>B</b>	District of Columbia	Agent	Approved	02/17/2026
<b>B</b>	Florida	Agent	Approved	02/17/2026
<b>B</b>	Georgia	Agent	Approved	02/17/2026
<b>B</b>	Illinois	Agent	Approved	02/17/2026
<b>B</b>	Massachusetts	Agent	Approved	04/10/2026
<b>B</b>	Missouri	Agent	Approved	03/03/2026
<b>B</b>	New Jersey	Agent	Approved	02/17/2026
<b>B</b>	New Mexico	Agent	Approved	02/17/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	02/17/2026
<b>B</b> North Carolina	Agent	Approved	02/20/2026
<b>B</b> Oklahoma	Agent	Approved	02/17/2026
<b>B</b> Pennsylvania	Agent	Approved	02/17/2026
<b>B</b> South Carolina	Agent	Approved	02/17/2026
<b>B</b> Texas	Agent	Approved	02/17/2026
<b>B</b> Virginia	Agent	Approved	02/17/2026

### Branch Office Locations

#### NFP ADVISOR SERVICES, LLC

106 Apple St  
Suite 204  
Tinton Falls, NJ 07724

### 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
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	02/17/2026
<b>IA</b> Texas	Investment Adviser Representative	Approved	02/17/2026

### Branch Office Locations

#### KESTRA ADVISORY SERVICES, LLC

106 Apple St  
Suite 204  
Tinton Falls, NJ 07724



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	05/18/2015
--	----------	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	07/08/2015
--	-----------	------------

### PROFESSIONAL DESIGNATIONS

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

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	05/07/2018 - 02/17/2026	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	TINTON FALLS, NJ
B	04/17/2018 - 02/17/2026	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	TINTON FALLS, NJ
IA	10/26/2016 - 02/15/2018	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	MIDDLETOWN, NJ
B	10/24/2016 - 02/15/2018	CETERA INVESTMENT SERVICES LLC	CRD# 15340	Englishtown, NJ
IA	11/23/2015 - 10/14/2016	WBI INVESTMENTS, INC.	CRD# 106336	RED BANK, NJ
B	11/18/2015 - 10/14/2016	QUASAR DISTRIBUTORS, LLC	CRD# 103848	PORTLAND, ME
IA	07/10/2015 - 10/19/2015	AXA ADVISORS, LLC	CRD# 6627	WALL, NJ
B	05/18/2015 - 10/19/2015	AXA ADVISORS, LLC	CRD# 6627	WALL, 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
02/2026 - Present	Kestra Advisory Services, LLC	Investment Advisor Rep	Y	Tinton Falls, NJ, United States
02/2026 - Present	Kestra Investment Services, LLC	Registered Rep	Y	Tinton Falls, NJ, United States
02/2026 - 02/2026	Kestra Advisory Services, LLC	Registered Rep/ Investment Advisory Rep.	Y	Tinton Falls, NJ, United States
04/2018 - 02/2026	HORNOR TOWNSEND & KENT INC	REGISTERED REPRESENTATIVE	Y	HORSHAM, PA, United States
02/2018 - 02/2026	PENN MUTUAL LIFE INS CO	ADVISER	Y	HORSHAM, PA, United States
10/2016 - 02/2018	CETERA INVESTMENT ADVISORS	IAR REGISTERED REPRESENTATIVE	Y	MARLBORO, NJ, United States
10/2016 - 02/2018	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST. CLOUD, MN, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2016 - 02/2018	COLUMBIA BANK	REGISTERED REPRESENTATIVE	Y	MARLBORO, NJ, United States
10/2015 - 10/2016	Quasar Distributors, LLC	Registered Representative	Y	Milwaukee, WI, United States
10/2015 - 10/2016	WBI Investments Inc.	Internal Sales Associate	Y	RED BANK, NJ, 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: BLUE WATER AGENCY, LLC POSITION: Owner NATURE: Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 15 START DATE: 08/15/2020 ADDRESS: 24 Deer Run Dr, Millstone Twp NJ 08510, United States DESCRIPTION: Oversee agents and assist in the day to day operations to ensure the practice runs smoothly.

Name: MILLSTONE TOWNSHIP REPUBLICAN COMMITTEE POSITION: District Representative NATURE: Political INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 06/10/2022 ADDRESS: 21 Deer Run Dr, Millstone Twp NJ 08510, United States DESCRIPTION: Meet once a month to discuss with a board about current topics going on within our town and the county and propose potential solutions to elected officials of the respective topic.

Name: TOTAL FINANCIAL CONCEPTS POSITION: Financial Advisor NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 125 START DATE: 02/17/2026 ADDRESS: 106 Apple St, Suite 204, Tinton Falls NJ 07724, United States DESCRIPTION: Provide clients with ongoing financial planning and investment advice.

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: 02/17/2026 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR



## 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:** Hornor Townsend & Kent LLC

**Allegations:** Client alleges that she purchased an indexed universal life policy that was not in her best interest. Additionally, that she incurred a \$7,000 tax bill because of selling mutual funds in which she \$600 in dividends yearly. The client is requesting that the premiums for the life insurance be refunded without penalty.

**Product Type:** Insurance

**Alleged Damages:** \$9,051.00

**Alleged Damages Amount Explanation (if amount not exact):** This is the amount of the surrender charge for the life insurance policy.

**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:** 04/24/2019

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/03/2019



<b>Settlement Amount:</b>	\$8,056.71
<b>Individual Contribution Amount:</b>	\$0.00



## End of Report

This page is intentionally left blank.