



IAPD Report

JOHN ROBERT STOCKTON JR

CRD# 836438

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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

JOHN ROBERT STOCKTON JR (CRD# 836438)

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 **06/08/2022**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	04/29/2022
IA KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/29/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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 WORLD CHOICE SECURITIES, INC.	30933	ARLINGTON, TX	08/11/2006 - 04/29/2022
B WORLD CHOICE SECURITIES, INC.	30933	ARLINGTON, TX	12/06/2001 - 04/29/2022
B UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	09/25/2000 - 12/20/2001

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	2



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 6 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 Principal	Approved	04/29/2022
B FINRA	General Securities Representative	Approved	04/29/2022
B California	Agent	Approved	04/29/2022
B Missouri	Agent	Approved	04/29/2022
B North Carolina	Agent	Approved	05/02/2022
B Oklahoma	Agent	Approved	06/09/2022
B Texas	Agent	Approved	04/29/2022
B Virginia	Agent	Approved	04/29/2022

Branch Office Locations

NFP ADVISOR SERVICES, LLC
2340 W Interstate 20
Suite 208
Arlington, TX 76017


Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735



Qualifications

Firm ID#: 283330

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	04/29/2022

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
2340 WEST INTERSTATE 20
STE 208
ARLINGTON, TX 76017



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	03/27/2003

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/16/1983
Registered Representative Examination (S1)	Series 1	04/12/1977

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	07/17/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	08/12/1983

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	08/11/2006 - 04/29/2022	WORLD CHOICE SECURITIES, INC.	CRD# 30933	ARLINGTON, TX
B	12/06/2001 - 04/29/2022	WORLD CHOICE SECURITIES, INC.	CRD# 30933	ARLINGTON, TX
B	09/25/2000 - 12/20/2001	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	11/07/1985 - 10/16/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	08/14/1984 - 10/21/1985	FIRST AFFILIATED SECURITIES, INC.	CRD# 6871	
B	08/02/1982 - 07/02/1984	E. F. HUTTON & COMPANY INC	CRD# 235	
B	04/20/1977 - 07/30/1982	MONY SALES, INC.	CRD# 4386	
B	04/20/1977 - 07/30/1982	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	

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
04/2022 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Arlington, TX, United States
04/2022 - Present	Kestra Investment Services LLC	Registered Rep	Y	Arlington, TX, United States
10/2000 - 04/2022	WORLD CHOICE SECURITIES INC	Registered Rep	Y	EULESS, TX, 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.

KESTRA ADVISORY SERVICES LLC

POSITION: REGISTERED REPRESENTATIVE NATURE: Investment advisory services through Kestra Advisory Services, LLC

INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 100 START DATE: 04/28/2022



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 5707 SOUTHWEST PARKWAY, BLDG 2 SUITE 400, AUSTIN TX 78735, United States

DESCRIPTION: Registered Rep activities through Kestra Financial.

General financial planning and securities investing for clients.160



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	2

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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER CLAIMS THAT SHE WAS NOT ADVISED THAT LIFE INSURANCE POLICY PURCHASED BY HER HUSBAND MIGHT REQUIRE MORE THAN SEVEN PAYMENTS. THIS OCCURRED AT MERRILL LYNCH.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/12/1998

Complaint Pending? No

Status: Settled

Status Date: 02/10/1999

Settlement Amount: \$19,992.13

Individual Contribution Amount:

Broker Statement SEE #9.
 SETTLED FOR \$19,992.13 TO AVOID COSTS AND UNCERTAINTIES OF LITIGATION. MERRILL LYNCH INVESTIGATION DISCLOSED NO BASIS FOR CLAIM THAT MR. STOCKTON MISREPRESENTED THE TERMS OF THE POLICY. THE FILE CONTAINS ALL THE APPROPRIATE AND REQUIRED SIGNATURES OF UNDERSTANDING AND WERE SIGNED BY [CUSTOMER]



AND THE TRUSTEES.

Disclosure 2 of 2**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:** NAMED AS DEFENDANT IN A PURPORTED CLASS ACTION SEEKING DAMAGES UNSPECIFIED BUT IN EXCFESS OF \$10,000. THE SUIT, WHICH ALSO NAMES MERRILL LYNCH LIFE AGENCY AND A LIFE INSURANCE COMPANY, ALLEGES BREACH OF CONTRACT, FRAUD, CONVERSION AND NEGLIGENCE IN CONNECTION WITH THE AMOUNT AND NUMBER OF PREMIUMS TO BE PAID.**Product Type:****Alleged Damages:** \$10,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** DISTRICT; JOHNSON COUNTY, TX; 249-144-96**Date Notice/Process Served:** 09/04/1996**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 04/10/1997**Monetary Compensation Amount:** \$400,000.00**Individual Contribution Amount:** \$0.00**Broker Statement** MERRILL LYNCH LIFE AGENCY CONTRIBUTED \$400,000 TO A SETTLEMENT WITH PLAINTIFF AND THE COURT ENTERED AN ORDER OF NON-SUIT ON APRIL 10, 1997. NO PART OF THE SETTLEMENT WAS PAID BY MR. STOCKTON.
Not Provided



End of Report

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