

BrokerCheck Report

AMS BROKERAGE SERVICES LLC

CRD# 335083

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**AMS BROKERAGE SERVICES LLC**

CRD# 335083

SEC# 8-71341

Main Office Location

1700 CITY FARM DRIVE
SUITE B
BATON ROUGE, LA 70806
Regulated by FINRA New Orleans Office

Mailing Address

1700 CITY FARM DRIVE
SUITE B
BATON ROUGE, LA 70806

Business Telephone Number

832 622 3905

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 01/29/2025.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 4 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 5



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 01/29/2025.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

AMS BROKERAGE SERVICES LLC

Doing business as AMS BROKERAGE SERVICES LLC

CRD# 335083

SEC# 8-71341

Main Office Location

1700 CITY FARM DRIVE
SUITE B
BATON ROUGE, LA 70806

Regulated by FINRA New Orleans Office

Mailing Address

1700 CITY FARM DRIVE
SUITE B
BATON ROUGE, LA 70806

Business Telephone Number

832 622 3905



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ANNUITY MARKETING SERVICES
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	01/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ANDERSON, STEPHEN FRANCIS 1181095
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	01/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DUFFY, SHAWN 1529626
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/CEO
Position Start Date	01/2025

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FAWLEY, DANIEL P
7183078

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 01/2025

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MARANTO, MICHAEL A
5722270

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 01/2025

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): WAGSTAFF, CONNER FRED III

Firm Profile



Direct Owners and Executive Officers (continued)

	1427591
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	01/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	CF BERMUDA HOLDINGS LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	FGL US HOLDINGS INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	F&G ANNUITIES & LIFE, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CF BERMUDA HOLDINGS LIMITED
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FGL US HOLDINGS
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established FIDELITY & GUARANTY LIFE HOLDINGS

Relationship to Direct Owner SHAREHOLDER

Relationship Established 01/2025

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FIDELITY & GUARANTY LIFE HOLDINGS

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established PEAK ALTITUDE EQUITY LLC

Relationship to Direct Owner STAKEHOLDER

Relationship Established 01/2025

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FIDELITY NATIONAL FINANCIAL, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established F&G ANNUITIES & LIFE, INC.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 01/2025

Firm Profile



Indirect Owners (continued)

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): ROAR JOINT VENTURE LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ANNUITY MARKETING SERVICES LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 01/2025

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): PEAK ALTITUDE EQUITY LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ROAR JOINT VENTURE

Relationship to Direct Owner SHAREHOLDER

Relationship Established 01/2025

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued)
company?

Legal Name & CRD# (if any):	ROAR FSG SELLER LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ROAR JOINT VENTURE
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2025
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 4 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	07/09/2025

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	07/09/2025

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	08/22/2025
Iowa	Approved	07/29/2025
Mississippi	Approved	07/21/2025
Utah	Approved	08/05/2025



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 1 type of business.

Types of Business

Other - AMS BROKERAGE SERVICES LLC IS A LIMITED PURPOSE BROKER DEALER THAT IS A WHOLESALE BROKER DEALER, WORKING PRIMARILY WITH RILA PRODUCTS BY EDUCATING REGISTERED REPRESENTATIVES ABOUT HOW RILA WORKS AND THEY COMPARING THE VARIOUS PRODUCTS THAT AMS BROKERAGE SERVICES REPRESENTS. AMS BROKERAGE SERVICES WILL ALSO BE INVOLVED IN A SIMILAR WAY WITH WHOLESALING VARIABLE ANNUITIES, VARIABLE LIFE AND MUTUAL FUNDS. NO RETAIL SALES

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: GLOBAL RELAY

Business Address: 1155 AVENUE OF THE AMERICAS
FLOORS 38-42
NEW YORK, NY 10036

Effective Date: 01/29/2025

Description: GLOBAL RELAY WILL BE STORING ALL EMAIL AND SOCIAL MEDIA MESSAGES.

Name: FAULK & WINKLER LLC

Business Address: 6811 JEFFERSON HIGHWAY
BATON ROUGE, LA 70806

Effective Date: 01/29/2025

Description: FAULK & WINKLER IS AN OUTSIDE ACCOUNTING FIRM THAT DOES ACCOUNTING WORK FOR THE BROKER DEALER. THEY ARE HOLDING THE FIRM BOOKS AND RECORDS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

FIDELITY & GUARANTY SECURITIES, LLC is under common control with the firm.

CRD #:	315720
Business Address:	801 GRAND AVENUE SUITE 2600 DES MOINES, IA 50309
Effective Date:	01/29/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	FIDELITY & GUARANTY IS A SISTER COMPANY TO AMS BROKERAGE SERVICES LLC UNDER THE SAME ULTIMATE OWNER FIDELITY NATIONAL FINANCIAL INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	5	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 5

Reporting Source:	Firm
Affiliate:	FIDELITY & GUARANTEE LIFE INSURANCE COMPANY
Current Status:	Final
Allegations:	LATE PAYMENT OF 741 AGENT APPOINTMENT FEES DUE TO AN INCORRECT EMAIL FOR THE COMPANY.
Initiated By:	STATE OF WASHINGTON OFFICE OF THE INSURANCE COMMISSIONER
Date Initiated:	08/28/2018
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	INSURANCE
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	NONE
Resolution:	Consent
Resolution Date:	11/02/2018
Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	NONE
Sanction Details:	FINE OF \$5,000 WAS PAID ON 11/2/2018 AND WAS FOR LATE PAYMENT OF 741 AGENT APPOINTMENT FEES. NO PORTION OF THE PENALTY WAS WAIVED.
Firm Statement	FINE OF \$5,000 WAS FOR THE LATE PAYMENT OF 741 AGENT APPOINTMENT FEES DUE TO AN INCORRECT EMAIL FOR THE COMPANY.

Disclosure 2 of 5

Reporting Source:	Firm
Affiliate:	FIDELITY & GUARANTEE LIFE INSURANCE COMPANY
Current Status:	Final



Allegations: ACCEPTANCE OF BUSINESS FROM AN UNLICENSED PRODUCER

Initiated By: SOUTH CAROLINA DEPARTMENT OF INSURANCE

Date Initiated: 08/15/2019

Docket/Case Number: N/A

Principal Product Type: Annuity(ies) - Fixed

Other Product Type(s): INSURANCE

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 09/19/2019

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered: NONE

Sanction Details: FINE OF \$1,000 WAS PAID 9/19/2019 BY THE CONTROL AFFILIATE. NO PORTION WAS WAIVED

Firm Statement FINE WAS FOR ACCEPTANCE OF BUSINESS FROM AN UNLICENSED PRODUCER, MATTER WAS SETTLED ON 9/19/2019.

Disclosure 3 of 5

Reporting Source: Firm

Affiliate: FIDELITY & GUARANTEE LIFE INSURANCE COMPANY

Current Status: Final

Allegations: FAILURE TO PROVIDE NOTICE AND BIOGRAPHICAL INFORMATION WITHIN SIXTY DAYS OF THE ELECTION OR APPOINTMENT OF OFFICERS OR DIRECTORS

Initiated By: LOUISIANA DEPARTMENT OF INSURANCE

Date Initiated: 11/20/2018

Docket/Case Number: N/A

Principal Product Type: Annuity(ies) - Fixed

Other Product Type(s): INSURANCE



Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	01/02/2019
Sanctions Ordered:	Monetary/Fine \$4,000.00
Other Sanctions Ordered:	NONE
Sanction Details:	FINE OF \$4,000 WAS PAID BY THE CONTROL AFFILIATE ON 1/2/2019 NO PORTION OF THE FINE WAS WAIVED.
Firm Statement	FINE OF \$4,000 WAS PAID ON 1/2/2019 AND WAS FOR FAILURE TO PROVIDE NOTICE AND BIOGRAPHICAL INFORMATION WITHIN SIXTY DAYS OF THE ELECTION OR APPOINTMENT OF OFFICERS OR DIRECTORS

Disclosure 4 of 5

Reporting Source:	Firm
Affiliate:	FIDELITY & GUARANTEE LIFE INSURANCE COMPANY
Current Status:	Final
Appealed To and Date Appeal Filed:	N/A
Allegations:	VIOLATIONS OF NOTICES OF CLAIMS AND PROPER REPLACEMENT FORMS.
Initiated By:	DIRECTOR OF INSURANCE STATE OF ILLINOIS
Date Initiated:	03/19/2019
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	INSURANCE
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Consent



Resolution Date: 03/21/2019

Sanctions Ordered: Monetary/Fine \$27,500.00

Other Sanctions Ordered: NONE

Sanction Details: FINE OF \$27,500 WAS PAID 3/21/2019 BY THE CONTROL AFFILIATE
NO PORTION WAS WAIVED.

Firm Statement FINE OF \$27,500 WAS PAID ON 3/21/2019 FOR VIOLATIONS OF NOTICES OF
CLAIMS AND PROPER REPLACEMENT FORMS DISCOVERED DURING A
MARKET CONDUCT EXAM.

Disclosure 5 of 5

Reporting Source: Firm

Affiliate: FIDELITY & GUARANTEE LIFE INSURANCE COMPANY

Current Status: Final

Allegations: ADMINISTRATIVE FINE IMPOSED FOR FAILURE TO FILE AN ANNUAL
FINANCIAL STATEMENT BY MARCH 1, 2018

Initiated By: IOWA INSURANCE DIVISION

Date Initiated: 04/17/2018

Docket/Case Number: N/A

Principal Product Type: Annuity(ies) - Fixed

Other Product Type(s): INSURANCE

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 04/17/2018

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: NONE

Sanction Details: THE FINE WAS FOR \$500 AND WAS PAID ON 4/18/2018 BY THE CONTROL
AFFILIATE.
NO PORTION OF THE PENALTY WAS WAIVED.

Firm Statement THE ADMINISTRATIVE FINE OF \$500 WAS IMPOSED FOR FAILURE TO FILE



AN ANNUAL FINANCIAL STATEMENT BY MARCH 1, 2018

End of Report



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