

BrokerCheck Report

JAMES ROBERT DELAMATER

CRD# 1048308

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6



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.

JAMES R. DELAMATER

CRD# 1048308

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B KESTRA INVESTMENT SERVICES, LLC

CRD# 42046
Plymouth, MN
07/2004 - 12/2019

B MONY SECURITIES CORPORATION

CRD# 4386
NEW YORK, NY
07/1982 - 08/2004

B TRUSTED SECURITIES ADVISORS CORP.

CRD# 24049
NEW YORK, NY
02/2000 - 12/2003

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 4 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	10/01/2018
B General Securities Representative Examination	Series 7	10/19/1999
B Direct Participation Programs Representative Examination	Series 22	01/11/1985
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/16/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/27/1999
B Uniform Securities Agent State Law Examination	Series 63	09/20/1982

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



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 and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2004 - 12/2019	KESTRA INVESTMENT SERVICES, LLC	42046	Plymouth, MN
B 07/1982 - 08/2004	MONY SECURITIES CORPORATION	4386	NEW YORK, NY
B 02/2000 - 12/2003	TRUSTED SECURITIES ADVISORS CORP.	24049	NEW YORK, NY
B 07/1982 - 10/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	2873	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2016 - Present	KESTRA FINANCIAL SERVICES, INC.	REGISTERED REP	Y	AUSTIN, TX, United States
01/2000 - Present	DS&B FINANCIAL SERVICES, LLC	PRESIDENT	Y	WOODBURY, MN, United States
07/2004 - 04/2016	NFP SECURITIES, INC.	REGISTERED REP	Y	AUSTIN, TX, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Business Name: Genevieve Delamater Rev. Trust Investment Related: Yes Address: 502 Lynnhurst Ave E Apt 310 Saint Paul MN 55104 Nature of Business: Other Other/None of the Above I manage my mothers investments Position, Title or Relationship: co-trustee Start Date: 10/1/2011 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: see 3.5Business Name: Saint Croix Marina Boat slip Investment Related: Yes Address: 16 First Street Hudson WI 54016 Nature of Business: Real Estate Position, Title or Relationship: Owner Start Date: 4/1/2013 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: collect rentsBusiness Name: Lakeview Drive Townhouse Investment Related: Yes Address: 701 Lakeview 'Drive Woodbury MN 55125 Nature of Business: Real Estate Position, Title or Relationship: Owner Start Date: 8/1/2011 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: collect rents, Business Name: Lara Delamater Trust Investment Related:

Registration and Employment History



Other Business Activities, continued

No Address: 6287 Crackleberry Trail Woodbury MN 55129 Nature of Business: Other Other/None of the Above Irrevocable Trust for Lara Delamater, My daughter Position, Title or Relationship: James Delamater is the Trustee of this trust Start Date: 4/14/1998 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: investment of cash. Business Name: Ashley Delamater Trust Investment Related: No Address: 6287 Crackleberry Trail Woodbury MN 55129 Nature of Business: Other Other/None of the Above investment management and income distribution activities Position, Title or Relationship: Other, Trustee Start Date: 4/1/1998 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: investment management and income distribution activities, filing annual income tax returns Business Name: Delamater Properties, LLC Investment Related: Yes Address: 2165 Woodlane Drive Suite 100 Woodbury MN 55125 Nature of Business: Real Estate Position, Title or Relationship: owner, chief manager Start Date: 3/1/1997 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: manage property and rent office spaces Business Name: Saint Anne's Episcopal Church Investment Related: No Address: 2035 Charlton Road Sunfish Lake MN 55118 Nature of Business: Other Other/None of the Above I am a member of the Finance committee Position, Title or Relationship: Vestry member Start Date: 1/1/2016 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Monthly meetings and attend board meetings monthly Business 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% (0 to 160 hours) Duties: Investment advisory services Business Name: NFP Investment Related: Yes Address: 505 Waterford Park Highway 169 Suite 1100 Plymouth MN 55441 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Senior Advisor Start Date: 1/1/2019 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: manage client relationships

End of Report



This page is intentionally left blank.