

BrokerCheck Report

DONALD JAY SETTINA

CRD# 1079154

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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.

DONALD J. SETTINA

CRD# 1079154

Currently employed by and registered with the following Firm(s):

- IA KESTRA ADVISORY SERVICES, LLC**
 1370 Washington Pike
 Ste 404
 Bridgeville, PA 15017
 CRD# 283330
 Registered with this firm since: 05/24/2022
- B KESTRA INVESTMENT SERVICES, LLC**
 1370 Washington Pike
 Suite 404
 Bridgeville, PA 15017
 CRD# 42046
 Registered with this firm since: 05/24/2022

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 registered with:**

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

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

- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 11/2010 - 06/2022
- B LPL FINANCIAL LLC**
 CRD# 6413
 PITTSBURGH, PA
 11/2010 - 06/2022
- IA NRP ADVISORS, INC.**
 CRD# 141430
 BRYAN, OH
 03/2009 - 11/2010

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**



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 individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
 Main Office Address: **5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735**
 Firm CRD#: **283330**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/10/2022
IA	Pennsylvania	Investment Adviser Representative	Approved	05/24/2022

Branch Office Locations

5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735

1370 Washington Pike
 Ste 404
 Bridgeville, PA 15017

Bonita Springs, FL

Employment 2 of 2

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



Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **42046**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/24/2022
B	FINRA	General Securities Representative	Approved	05/24/2022
B	FINRA	Municipal Fund	Approved	05/24/2022

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/03/2022
B	Georgia	Agent	Approved	05/24/2022
B	Illinois	Agent	Approved	05/24/2022
B	Kentucky	Agent	Approved	05/24/2022
B	Massachusetts	Agent	Approved	05/25/2022
B	Ohio	Agent	Approved	05/24/2022
B	Pennsylvania	Agent	Approved	06/10/2022
B	Texas	Agent	Approved	05/24/2022
B	Utah	Agent	Approved	05/24/2022

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

1370 Washington Pike
Suite 404
Bridgeville, PA 15017

KESTRA INVESTMENT SERVICES, LLC

Bonita Springs, FL



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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Fund Securities Principal Examination	Series 51	03/24/2003
B General Securities Principal Examination	Series 24	12/20/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/20/1982

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/10/1983

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).

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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/2010 - 06/2022	LPL FINANCIAL LLC	6413	PITTSBURGH, PA
IA 11/2010 - 06/2022	LPL FINANCIAL LLC	6413	PITTSBURGH, PA
IA 03/2009 - 11/2010	NRP ADVISORS, INC.	141430	PITTSBURGH, PA
B 03/2009 - 11/2010	NRP FINANCIAL, INC.	103717	PITTSBURGH, PA
IA 01/2003 - 09/2009	DON SETTINA, INC.	122881	PITTSBURGH, PA
IA 07/2002 - 03/2009	ROYAL ALLIANCE ASSOCIATES, INC.	23131	PITTSBURGH, PA
B 11/1989 - 03/2009	ROYAL ALLIANCE ASSOCIATES, INC.	23131	PITTSBURGH, PA
B 01/1987 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B 01/1987 - 02/1987	PENN MUTUAL EQUITY SERVICES, INC.	4031	
B 03/1984 - 02/1987	JANNEY MONTGOMERY SCOTT INC.	463	
B 11/1983 - 03/1984	EQUITY SERVICES, INC.	265	
B 12/1982 - 11/1983	FINANCIAL ESTATE PLANNING	287	

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
05/2022 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	PITTSBURGH, PA, United States
05/2022 - Present	Kestra Investment Services LLC	Registered Rep	Y	PITTSBURGH, PA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2010 - 05/2022	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	PITTSBURGH, PA, 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.

LIFEPRO FINANCIAL SERVICES POSITION: Insurance advisor NATURE: Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 60 START DATE: 06/01/2020 ADDRESS: 2652 HIDDEN VALLEY DR, PITTSBURGH PA 15241, United States DESCRIPTION: Make recommendations for life insurance as it pertains to our financial plan and help with design and underwriting of the policies through LifePro

RETIRERIGHT FINANCIAL PLANNING POSITION: Executive benefit Consultant and Insurance Specialist NATURE: Registered Rep Activities through Kestra Investment Services, Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 04/01/2022 ADDRESS: 2652 HIDDEN VALLEY DR, PITTSBURGH PA 15241, United States DESCRIPTION: Meet with clients, proceed with financial planning process and make recommendations.

EXCELLENT VENTURES, INC POSITION: Executive benefit Consultant and Insurance Specialist NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 01/01/2020 ADDRESS: 2652 HIDDEN VALLEY DR, PITTSBURGH PA 15241, United States DESCRIPTION: Meet with clients, proceed with financial planning process and make recommendations.

KESTRA ADVISORY SERVICES POSITION: Executive benefit Consultant and Insurance Specialist NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 04/19/2022 ADDRESS: 2652 HIDDEN VALLEY DR, PITTSBURGH PA 15241, United States DESCRIPTION: Focus on the insurance side of business

End of Report



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