**BrokerCheck Report**

# John Malachy Marmion Jr.

CRD# 1139175

**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.
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**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.

# John M. Marmion Jr.

CRD# 1139175

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

IA **KESTRA PRIVATE WEALTH SERVICES, LLC**
100 West Old Wilson Bridge Road
Suite 106
Worthington, OH 43085
CRD# 155193
Registered with this firm since: 03/27/2025

B **KESTRA INVESTMENT SERVICES, LLC**
100 W Old Wilson Bridge Road
Suite 106
Worthington, OH 43085
CRD# 42046
Registered with this firm since: 03/27/2025

## 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
- 12 U.S. states and territories

**This broker has passed:**

- 3 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

IA **UBS FINANCIAL SERVICES INC.**
CRD# 8174
WEEHAWKEN, NJ
11/2012 - 04/2025

B **UBS FINANCIAL SERVICES INC.**
CRD# 8174
COLUMBUS, OH
11/2012 - 04/2025

B **WELLS FARGO ADVISORS, LLC**
CRD# 19616
COLUMBUS, OH
07/2003 - 11/2012

### 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? **Yes**

**The following types of disclosures have been reported:**

| Type | Count |
|---|---|
| Regulatory Event | 1 |
| Customer Dispute | 1 |

# 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 12 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Office Address: **5707 SOUTHWEST PARKWAY**
**BUILDING 2, SUITE 400**
**AUSTIN, TX 78735**

Firm CRD#: **42046**

| | SRO | Category | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 03/27/2025 |
| B | FINRA | General Securities Sales Supervisor | Approved | 03/27/2025 |

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | Colorado | Agent | Approved | 06/10/2025 |
| B | Connecticut | Agent | Approved | 03/27/2025 |
| B | Florida | Agent | Approved | 05/21/2025 |
| B | Georgia | Agent | Approved | 03/27/2025 |
| B | Montana | Agent | Approved | 05/23/2025 |
| B | Nevada | Agent | Approved | 06/12/2025 |
| B | New Jersey | Agent | Approved | 03/27/2025 |
| B | New York | Agent | Approved | 03/27/2025 |
| B | North Carolina | Agent | Approved | 05/19/2025 |
| B | Ohio | Agent | Approved | 05/19/2025 |
| B | Texas | Agent | Approved | 05/31/2025 |

# Broker Qualifications

## Employment 1 of 2, continued

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | West Virginia | Agent | Approved | 03/27/2025 |

## Branch Office Locations

**KESTRA INVESTMENT SERVICES, LLC**
100 W Old Wilson Bridge Road
Suite 106
Worthington, OH 43085

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## Employment 2 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**

Main Office Address: **5707 SOUTHWEST PARKWAY**
**BLDG. 2 STE 400**
**AUSTIN, TX 78735**

Firm CRD#: **155193**

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| IA | Ohio | Investment Adviser Representative | Approved | 05/19/2025 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 03/27/2025 |

## Branch Office Locations

100 West Old Wilson Bridge Road
Suite 106
Worthington, OH 43085

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# 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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | General Securities Sales Supervisor - Options Module Examination | Series 9 | 01/02/2023 |
| B | General Securities Sales Supervisor - General Module Examination | Series 10 | 01/02/2023 |
| B | General  Securities Sales Supervisor Examination (Options Module & General Module) | Series 8 | 04/27/1992 |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B | Interest Rate Options Examination | Series 5 | 01/17/2000 |
| B | National Commodity Futures Examination | Series 3 | 10/25/1999 |
| B | Foreign Currency Options Examination | Series 15 | 07/13/1999 |
| B | General Securities Representative Examination | Series 7 | 06/18/1983 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination | Series 65 | 01/22/1996 |
| B | Uniform Securities Agent State Law Examination | Series 63 | 07/06/1983 |

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 **0** professional designation(s).

No information reported.

# Registration and Employment History

## Registration History

The broker previously was registered with the following firms:

| | Registration Dates | Firm Name | CRD# | Branch Location |
|---|---|---|---|---|
| IA | 11/2012 - 04/2025 | UBS FINANCIAL SERVICES INC. | 8174 | COLUMBUS, OH |
| B | 11/2012 - 04/2025 | UBS FINANCIAL SERVICES INC. | 8174 | COLUMBUS, OH |
| B | 07/2003 - 11/2012 | WELLS FARGO ADVISORS, LLC | 19616 | COLUMBUS, OH |
| IA | 07/2003 - 11/2012 | WELLS FARGO ADVISORS, LLC | 19616 | COLUMBUS, OH |
| B | 12/1990 - 07/2003 | PRUDENTIAL SECURITIES INCORPORATED | 7471 | NEW YORK, NY |
| IA | 12/1990 - 07/2003 | PRUDENTIAL SECURITIES INCORPORATED | 7471 | COLUMBUS, OH |
| B | 06/1983 - 12/1990 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | 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 |
|---|---|---|---|---|
| 03/2025 - Present | Kestra Investment Services, LLC | Registered Representative | Y | Worthington, OH, United States |
| 03/2025 - Present | Kestra Private Wealth Services, LLC | Investment Advisor Representative | Y | Worthington, OH, United States |
| 10/2012 - 03/2025 | UBS FINANCIAL SERVICES INC. | FINANCIAL ADVISOR | Y | COLUMBUS, OH, 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.

Bus Name: SAWMILL CREEK VILLAS CONDO POSITION: Treasurer NATURE: Board position (Board of Directors, Board of Trustees, etc.)

# Registration and Employment History

## Other Business Activities, continued

INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2020 ADDRESS: 18 Sawmill Creek Dr West, Huron OH 44839, United States DESCRIPTION: I help prepare the annual tax returns. I process payments for services rendered after they have been approved by the president. I maintain our checkbook to insure that bills are paid on a timely basis. The duties take about an hour of my time a month.

Bus Name: BILTMORE COURT 2 CONDO ASSOCIATION POSITION: Treasurer NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2024 ADDRESS: PO Box 10909, Glendale AZ 85318, United States DESCRIPTION: I review the monthly expenditures and report to the board and to all members what our financial position is. I also take part in decision making for unusual expenditures

Bus Name: TURAS WEALTH PARTNERS POSITION: Co-Owner NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 130 SECURITIES TRADING HOURS: 99 START DATE: 03/27/2025
ADDRESS: 240 Croswell Rd, Columbus OH 43214, United States DESCRIPTION: Financial planning and investment management

# Disclosure Events

**What you should know about reported disclosure events:**

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   - 
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   - 
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

**For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.**

| | Pending | Final | On Appeal |
|---|---|---|---|
| Regulatory Event | 0 | 1 | 0 |
| Customer Dispute | 0 | 1 | N/A |

## Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

**Disclosure 1 of 1**

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | Ohio Division of Securities |
| **Sanction(s) Sought:** | Cease and Desist |
| **Date Initiated:** | 06/28/2023 |
| **Docket/Case Number:** | 23-022 |
| **URL for Regulatory Action:** | |
| **Employing firm when activity occurred which led to the regulatory action:** | UBS Financial Services, Inc. |
| **Product Type:** | No Product |
| **Allegations:** | See Division Order 23-022 |
| **Current Status:** | Final |
| **Resolution:** | Consent |

| | |
|---|---|
| **Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** | No |
| **Resolution Date:** | 06/28/2023 |
| **Sanctions Ordered:** | Cease and Desist |
| **Regulator Statement** | The Ohio Division of Securities issued a Cease and Desist Order with Consent based on a finding that Marmion, having reasonable cause to believe that an elderly client was subject to attempted financial exploitation, failed to follow his firm's internal written policy and procedures for reporting the attempted exploitation, in violation of R.C. 1707.49(B)(1). |

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Regulatory Action Initiated By:** | State of Ohio, Department of Commerce, Division of Securities |
| **Sanction(s) Sought:** | Cease and Desist |
| **Date Initiated:** | 06/28/2023 |
| **Docket/Case Number:** | Order No. 23-022 |
| **Employing firm when activity occurred which led to the regulatory action:** | UBS Financial Services, Inc. |
| **Product Type:** | No Product |
| **Allegations:** | FA violated Ohio Revised Code 1707.49(B)(1) because he had reasonable cause to believe that the client was subject to attempted financial exploitation and failed to follow UBS internal written policy and procedure for the reporting of attempted financial exploitation. |
| **Current Status:** | Final |
| **Resolution:** | Order |

| | |
|---|---|
| **Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** | No |
| **Resolution Date:** | 06/28/2023 |
| **Sanctions Ordered:** | Cease and Desist |

## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | |
| **Allegations:** | ESTATE ALLEGED THAT EXCESSIVE AND UNSUITABLE TRADES IN S&P "LEAPS" WERE EXECUTED IN HER DISCRETIONARY SECURITIES ACCOUNT BY AN OUTSIDE MONEY MANAGER. THE ESTATE ALLEGED DAMAGES OF $100,000. |
| **Product Type:** | |
| **Alleged Damages:** | $100,000.00 |

### Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/04/1998 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 06/25/1999 |
| **Settlement Amount:** | $75,000.00 |
| **Individual Contribution Amount:** | $25,000.00 |
| **Broker Statement** | Not Provided<br>CLIENT WAS FULLY AWARE OF RISKS AND REWARDS OF THIS ACCOUNT PRIOR TO RETAINING THE SERVICES OF THIS MANAGER |

# End of Report

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