

## BrokerCheck Report

### ROLLIN GILBERT SCHUSTER JR

CRD# 1211403

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**ROLLIN G. SCHUSTER JR**

CRD# 1211403

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

- IA KESTRA ADVISORY SERVICES, LLC**  
 29 South Main Street  
 Suite 300  
 West Hartford, CT 06107  
 CRD# 283330  
 Registered with this firm since: 04/18/2016
- B KESTRA INVESTMENT SERVICES, LLC**  
 29 South Main Street  
 Suite 300  
 West Hartford, CT 06107  
 CRD# 42046  
 Registered with this firm since: 06/06/2006

**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
- 13 U.S. states and territories

**This broker has passed:**

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

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

- IA NFP ADVISOR SERVICES, LLC**  
 CRD# 42046  
 AUSTIN, TX  
 05/2010 - 09/2016
- B MML INVESTORS SERVICES, INC.**  
 CRD# 10409  
 FARMINGTON, CT  
 03/1996 - 06/2006
- B G. R. PHELPS & CO., INC.**  
 CRD# 173  
 07/1987 - 03/1996

**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
Criminal	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 13 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	Connecticut	Investment Adviser Representative	Approved	04/18/2016

### Branch Office Locations

29 South Main Street  
 Suite 300  
 West Hartford, CT 06107

### Employment 2 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	Corporate Securities Represent	Approved	06/06/2006
B	FINRA	Direct Participation Programs	Approved	06/06/2006
B	FINRA	Invest. Co and Variable Contracts	Approved	06/06/2006



## Broker Qualifications

### Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Investment Co./Variable Contracts Prin	Approved	06/06/2006
B	FINRA	Municipal Securities Representative	Approved	06/06/2006

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/08/2009
B	California	Agent	Approved	03/01/2007
B	Connecticut	Agent	Approved	06/06/2006
B	Florida	Agent	Approved	07/14/2017
B	Maryland	Agent	Approved	02/18/2022
B	Massachusetts	Agent	Approved	06/06/2006
B	New Hampshire	Agent	Approved	09/14/2006
B	New Jersey	Agent	Approved	01/10/2007
B	New York	Agent	Approved	06/06/2006
B	North Carolina	Agent	Approved	11/06/2017
B	Pennsylvania	Agent	Approved	08/04/2010
B	Rhode Island	Agent	Approved	03/18/2008
B	Texas	Agent	Approved	11/27/2017

### Branch Office Locations

#### KESTRA INVESTMENT SERVICES, LLC

29 South Main Street  
Suite 300  
West Hartford, CT 06107



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	08/04/1997

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Municipal Securities Representative Examination	Series 52	04/29/1991
<b>B</b> Corporate Securities Limited Representative Examination	Series 62	09/07/1990
<b>B</b> Direct Participation Programs Representative Examination	Series 22	04/27/1988
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	01/05/1984

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	05/10/2010
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/13/1984

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/](http://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
<b>IA</b> 05/2010 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	FARMINGTON, CT
<b>B</b> 03/1996 - 06/2006	MML INVESTORS SERVICES, INC.	10409	FARMINGTON, CT
<b>B</b> 07/1987 - 03/1996	G. R. PHELPS & CO., INC.	173	
<b>B</b> 07/1994 - 12/1994	W. S. GRIFFITH & CO., INC.	10410	HARTFORD, CT
<b>B</b> 12/1985 - 07/1987	TRAVELERS EQUITIES SALES, INC.	833	
<b>B</b> 01/1984 - 11/1985	MML INVESTORS SERVICES, INC.	10409	
<b>B</b> 01/1984 - 11/1985	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY	2682	

### 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 ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FARMINGTON, CT, United States
06/2006 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	FARMINGTON, CT, United States
01/1992 - Present	SCHUSTER DRISCOLL & COMPANY	OWNER	Y	FARMINGTON, CT, United States
05/1987 - Present	CONNECTICUT MUTUAL LIFE INS. COMPANY	AGENT - Agent	N	HARTFORD, CT, United States
09/1985 - Present	TRAVELERS	AGENT - AGENT	N	HARTFORD, CT, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2006 - 04/2016	NFP SECURITIES, INC.	REGISTERED REP	Y	FARMINGTON, CT, 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.

- 1) Schuster Driscoll, LLC Investment Related: Yes Address: 135 South Road Farmington CT 06032 Nature of Business: Insurance; Investment Advisory (RIA, IAR, Financial Planning, etc.) Position, Title or Relationship: Owner Start Date: 1/1/1990 Hours/ month: 100%+ Hours/ month during trading hours: 91% - 100% (127 - 140 hours) Duties: Manage business/ client relationships
- 2) The Alliance for Non Profit Growth and Opportunities, Inc Investment Related: No Address: 135 South Rd Farmington CT 06032 Nature of Business: Community/Charitable/Civic Position, Title or Relationship: President Start Date: 6/23/2008 Hours per month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: Manage organization
- 3) Schuster Driscoll LLC dba The Schuster Group Investment Related: Yes Address: 135 South Road Farmington CT 06032 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance Position, Title or Relationship: sole member; owner; president Start Date: 1/1/2016 Hours/ month: 100%+ Hours per month during trading hours: 71% - 80% (99 - 112 hours) Duties: Run business, sales
- 4) 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/ month: Up to 100% Hours/ month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory
- 5) QUALIDIGM Investment Related: No Address: 1290 SILAS DEANE HIGHWAY WETHERSFIELD CT 06109 Nature of Business: Board Position Position, Title or Relationship: BOARD MEMBER Start Date: 1/1/2016 Hours/ month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: BOARD MEMBER
- 6) CW RESOURCES INC. Investment Related: No Address: 227 MYRTLE STREET NEW BRITAIN CT 06031 Nature of Business: Board Position Position, Title or Relationship: BOARD MEMBER Start Date: 9/1/2013 Hours/ month: 0% - 10% (0 - 16 hours) Hours/ month during trading hours: 0% - 10% (0 - 14 hours) Duties: TREASURER
- 7) Cross Current Insurance Group, LLC Investment Related: No Address: 135 South Road Farmington CT 06032 Nature of Business: Insurance Position, Title or Relationship: Member Start Date: 11/1/2018 Hours/ month: 11% - 20% (17 - 32 hours) Hours/ month during trading hours: 21% - 30% (29 - 42 hours) Duties: Sales and marketing
- 8) NFP Investment Related: Yes Address: 340 Madison Ave New York NY 10173 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: Employee Start Date: 1/1/2021 Hours/ month: 91% - 100% (145 - 160 hours) Hours/month during trading hours: 81% - 90% (113 - 126 hours) Duties: Sales and management
- 9) SOUL FLY LODGE POSITION: Partial owner NATURE: Fly Fishing Lodge INVESTMENT RELATED: No # OF HOURS: 1 TRADING HOURS: 1 START DATE: 01/01/2021 ADDRESS: Greay Harbor Cay, Berry Islands UM 11111, United States DESCRIPTION: review financials
- 10) KISMET PROPERTIES POSITION: Member NATURE: Real Estate INVESTMENT RELATED: Yes # OF HOURS: 6 TRADING HOURS: 0 START DATE: 11/01/2019

## Registration and Employment History



### Other Business Activities, continued

ADDRESS: 210 Old Farms Road, Simsbury CT 06070, United States DESCRIPTION: Manage

11) FRANKLIN PIERCE UNIVERSITY POSITION: Board Member NATURE: Board position INVESTMENT RELATED: No # OF HOURS: 6  
TRADING HOURS: 0 START DATE: 01/01/2020 ADDRESS: 40 University Drive, Rindge NH 03461, United States DESCRIPTION: Board of  
Trustees of Franklin Pierce University.

12) OUTDOOR GUIDE ASSOCIATION POSITION: Director NATURE: Board position INVESTMENT RELATED: No # OF HOURS: 2 TRADING  
HOURS: 0 START DATE: 01/01/2021 ADDRESS: 210 Old Farms Road, Simsbury CT 06070, United States DESCRIPTION: Oversight

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## 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.
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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
Criminal	0	1	0



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	POLICE CRIMINAL NUMBER H-78-55
<b>Charge Date:</b>	09/05/1978
<b>Charge Details:</b>	AT AGE 18 I ATTENDED A HIGH SCHOOL PARTY WITH A FRIEND AND ENGAGED IN DRINKING OF ALCOHOLIC BEVERAGES. ON THE WAY HOME AS A FOOLISH PRANK @ 3:20 AM WE TOOK SOME LETTERS FROM RURAL MAILBOXES
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/03/1982
<b>Disposition Details:</b>	DISMISSED
<b>Broker Statement</b>	SEE ITEM #7 AND ATTACHED ORDER FOR DISMISSAL

## End of Report



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