

## BrokerCheck Report

# ARTHUR JOSEPH LAVALLIE

CRD# 1544807

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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).

**ARTHUR J. LAVALLIE**

CRD# 1544807

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

- IA KESTRA ADVISORY SERVICES, LLC**  
745 McClintock  
Suite 120  
BURR RIDGE, IL 60527  
CRD# 283330  
Registered with this firm since: 04/21/2016
- B KESTRA INVESTMENT SERVICES, LLC**  
745 McClintock  
Burr Ridge, IL 60527  
CRD# 42046  
Registered with this firm since: 11/01/2004

**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
- 6 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 2 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  
11/2004 - 09/2016
- B AMERITAS INVESTMENT CORP.**  
CRD# 14869  
LINCOLN, NE  
10/2003 - 11/2004
- IA THE ADVISORS GROUP, INC.**  
CRD# 14035  
BETHESDA, MD  
09/1997 - 11/2004

**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



## 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 6 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	02/13/2026
IA	Illinois	Investment Adviser Representative	Approved	04/21/2016

### Branch Office Locations

745 McClintock  
Suite 120  
BURR RIDGE, IL 60527

North Captiva, FL

### 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	General Securities Principal	Approved	11/01/2004



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	11/01/2004
<b>B</b> FINRA	Municipal Fund	Approved	11/01/2004

U.S. State/ Territory	Category	Status	Date
<b>B</b> Florida	Agent	Approved	11/01/2004
<b>B</b> Illinois	Agent	Approved	11/01/2004
<b>B</b> Indiana	Agent	Approved	12/23/2020
<b>B</b> Michigan	Agent	Approved	11/01/2004
<b>B</b> Oregon	Agent	Approved	07/17/2014
<b>B</b> Tennessee	Agent	Approved	07/14/2022

### Branch Office Locations

**KESTRA INVESTMENT SERVICES, LLC**  
 745 McClintock  
 Burr Ridge, IL 60527

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Fund Securities Principal Examination	Series 51	01/16/2004
<b>B</b> General Securities Principal Examination	Series 24	08/24/1991

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/16/1986

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/12/2025
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/21/1986

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> 11/2004 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	OAKBROOK TERRACE, IL
<b>B</b> 10/2003 - 11/2004	AMERITAS INVESTMENT CORP.	14869	LINCOLN, NE
<b>IA</b> 09/1997 - 11/2004	THE ADVISORS GROUP, INC.	14035	OAKBROOK TERRACE, IL
<b>B</b> 08/1986 - 10/2003	THE ADVISORS GROUP, INC.	14035	BETHESDA, MD

### 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	BURR RIDGE, IL, United States
11/2004 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	BURR RIDGE, IL, 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: Tecla Partners LLC Investment Related: Yes Address: 1530 S. State St. #15K Chicago IL 60605 Nature of Business: Real Estate;  
 Other Other/None of the Above Several other passive investments Position, Title or Relationship: Owner Start Date: 5/6/1995 Hours per month:  
 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Most day to day operations. Bill paying  
 Business Name: AJ Lavallie Investment Related: No Address: One Lincoln Center Suite 360 Oakbrook Terrace IL 60181 Nature of Business:  
 Insurance Position, Title or Relationship: Owner Start Date: 11/21/2014 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during  
 trading hours: 0% - 10% (0 - 14 hours) Duties: Financial Planning  
 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

## Registration and Employment History



### Other Business Activities, continued

to 160 hours) Duties: Investment advisory services

Business Name: Blue Lake Wealth Advisors Investment Related: Yes Address: 745 McClintock Dr., Suite 120 Burr Ridge IL 60527 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: affiliate Start Date: 9/15/2017 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 71% - 80% (99 - 112 hours) Duties: financial planning

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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.
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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
Regulatory Event	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.

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	02/13/2026
<b>Docket/Case Number:</b>	132811-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	KESTRA ADVISORY SERVICES, LLC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	The Office finds that Lavallie violated section 517.12(4), Florida Statutes (2013), by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of an investment adviser or a federal covered adviser.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:** 02/13/2026

**Sanctions Ordered:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

#### Monetary Sanction 1 of 1

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$40,000.00

**Portion Levied against individual:** \$40,000.00

#### Payment Plan:

#### Is Payment Plan Current:

**Date Paid by individual:** 02/13/2026

**Was any portion of penalty waived?** No

#### Amount Waived:

#### Regulator Statement

On February 13, 2026, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Arthur LaVallie (LaVallie). Lavallie neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office finds that Lavallie violated section 517. 12(4), Florida Statutes (2013), by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of an investment adviser or a federal covered adviser. LaVallie agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$40,000.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** Florida Office of Financial Regulation

**Sanction(s) Sought:** Cease and Desist



Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 02/13/2026**Docket/Case Number:** 132811-SR**Employing firm when activity occurred which led to the regulatory action:** Kestra Advisory Services, LLC**Product Type:** No Product**Allegations:** The Office finds that Lavallie violated section 517.12(4), Florida Statutes (2013), by rendering investment advice, from allocation within Florida, without being registered with the Office as an associated person of an investment adviser or a federal covered adviser.**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:** 02/13/2026**Sanctions Ordered:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$40,000.00**Portion Levied against individual:** \$40,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 02/13/2026**Was any portion of penalty waived?** No



**Amount Waived:**

## End of Report



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