

BrokerCheck Report

ROBERT SAMUEL BERZ

CRD# 20458

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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:
 - o 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
 - o 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.

**ROBERT S. BERZ**

CRD# 20458

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

IA LION STREET ADVISORS, LLC
 901 Mountain Creek Road
 Ste. 201
 Chattanooga, TN 37405
 CRD# 167610
 Registered with this firm since: 03/20/2025

B LION STREET FINANCIAL, LLC
 300 COLORADO ST
 SUITE 2600
 AUSTIN, TX 78701
 CRD# 165828
 Registered with this firm since: 03/20/2025

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:

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

Registration History

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

IA KESTRA ADVISORY SERVICES, LLC
 CRD# 283330
 AUSTIN, TX
 04/2016 - 03/2025

B KESTRA INVESTMENT SERVICES, LLC
 CRD# 42046
 CHATTANOOGA, TN
 06/2002 - 03/2025

IA NFP ADVISOR SERVICES, LLC
 CRD# 42046
 AUSTIN, TX
 01/2004 - 09/2016

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

Employment 1 of 2

Firm Name: **LION STREET ADVISORS, LLC**
 Main Office Address: **300 COLORADO
 SUITE 2600
 AUSTIN, TX 78701**
 Firm CRD#: **167610**

	U.S. State/ Territory	Category	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	03/20/2025

Branch Office Locations

300 COLORADO
 SUITE 2600
 AUSTIN, TX 78701

901 Mountain Creek Road
 Ste. 201
 Chattanooga, TN 37405

Employment 2 of 2

Firm Name: **LION STREET FINANCIAL, LLC**
 Main Office Address: **300 COLORADO ST
 SUITE 2600
 AUSTIN, TX 78701**
 Firm CRD#: **165828**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/20/2025



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	03/20/2025
B California	Agent	Approved	03/20/2025
B Colorado	Agent	Approved	03/20/2025
B Florida	Agent	Approved	03/20/2025
B Georgia	Agent	Approved	03/20/2025
B Massachusetts	Agent	Approved	03/20/2025
B Montana	Agent	Approved	03/20/2025
B North Carolina	Agent	Approved	03/26/2025
B Ohio	Agent	Approved	03/20/2025
B Tennessee	Agent	Approved	03/20/2025
B Virginia	Agent	Approved	03/20/2025
B Wisconsin	Agent	Approved	03/20/2025

Branch Office Locations

LION STREET FINANCIAL, LLC
 300 COLORADO ST
 SUITE 2600
 AUSTIN, TX 78701



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	07/14/1970

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/05/1985

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 04/2016 - 03/2025	KESTRA ADVISORY SERVICES, LLC	283330	Chattanooga, TN
B 06/2002 - 03/2025	KESTRA INVESTMENT SERVICES, LLC	42046	CHATTANOOGA, TN
IA 01/2004 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	CHATTANOOGA, TN
B 05/1999 - 06/2002	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY
B 12/1991 - 05/1999	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY
B 11/1973 - 12/1991	GREEN HILL FINANCIAL SERVICE CORPORATION	4882	
B 07/1970 - 12/1973	BROWN ASSOCIATES, INC.	5049	

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	Lion Street Advisors	Investment Adviser Representative	Y	CHATTANOOGA, TN, United States
03/2025 - Present	Lion Street Financial	Registered Representative	Y	CHATTANOOGA, TN, United States
09/1960 - Present	ROBERT S BERZ COMPANY	OTHER - OWNER	N	CHATTANOOGA, TN, United States
04/2016 - 03/2025	KESTRA ADVISORY SERVICES, LLC.	INVESTMENT ADVISOR	Y	CHATTANOOGA, TN, United States
04/2016 - 03/2025	KESTRA INVESTMENT SERVICES, LLC.	REGISTERED REP	Y	CHATTANOOGA, TN, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2002 - 04/2016	NFP SECURITIES INC.	REGISTERED REP	Y	CHATTANOOGA, TN, 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.Business Name: Berz Financial Partners Investment Related: Yes Address:901 Mountain Creek Rd Chattanooga TN 37405 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance Position, Title or Relationship: Owner Start Date: 9/20/1960 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: responding to service requirements of clients, paying my employees, provide underwriting for various insurance products

2.BLUFFVIEW INSURANCE GROUP,LLC
 POSITION: Owner NATURE: Sale and Service of non securities based Life Insurance products INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025
 ADDRESS: 901 Mountain Creek road Suite 201, chattanooga TN 37405, United States
 DESCRIPTION: Advise clients on strategies for family and business protection needs solved with non securities based life insurance products. .

End of Report



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