

BrokerCheck Report

LARRY ROBERT KRMPOTICH

CRD# 2357492

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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.



LARRY R. KRMPOTICH

CRD# 2357492

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

IA KESTRA ADVISORY SERVICES, LLC
Mankato, MN
CRD# 283330
Registered with this firm since: 09/24/2020

B KESTRA INVESTMENT SERVICES, LLC
124 E. Walnut St
Suite 110
Mankato, MN 56001
CRD# 42046
Registered with this firm since: 09/24/2020

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
- 5 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**
CRD# 793
ST LOUIS, MO
10/2009 - 07/2020
- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
CRD# 793
NEW ULM, MN
10/2009 - 07/2020
- IA UBS FINANCIAL SERVICES INC.**
CRD# 8174
WEEHAWKEN, NJ
08/2006 - 10/2009

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 5 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	Minnesota	Investment Adviser Representative	Approved	09/24/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

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

Mankato, MN

124 E. Walnut St
 Suite 110
 MANKATO, MN 56001

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 Representative	Approved	09/24/2020
B	FINRA	General Securities Sales Supervisor	Approved	09/24/2020

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	09/24/2020
B	Iowa	Agent	Approved	09/24/2020
B	Minnesota	Agent	Approved	09/24/2020
B	Nebraska	Agent	Approved	10/08/2021
B	Texas	Agent	Approved	09/24/2020

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

124 E. Walnut St
Suite 110
Mankato, MN 56001



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	04/26/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	10/23/2003
B General Securities Representative Examination	Series 7	07/16/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/15/1999
B Uniform Securities Agent State Law Examination	Series 63	07/22/1993

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
B 10/2009 - 07/2020	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW ULM, MN
IA 10/2009 - 07/2020	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW ULM, MN
B 08/2006 - 10/2009	UBS FINANCIAL SERVICES INC.	8174	MASON CITY, IA
IA 08/2006 - 10/2009	UBS FINANCIAL SERVICES INC.	8174	MASON CITY, IA
IA 04/1999 - 08/2006	PIPER JAFFRAY & CO.	665	MASON CITY, IA
B 01/1999 - 08/2006	PIPER JAFFRAY & CO.	665	MASON CITY, IA
B 07/1993 - 02/1999	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO

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
09/2020 - Present	Kestra Advisory Services, LLC	Investment Adviser Representative	Y	Mankato, MN, United States
09/2020 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Mankato, MN, United States
09/2020 - Present	Riverfront Wealth Management, Inc.	Registered Rep/Investment Advisor	Y	Mankato, MN, United States
10/2009 - 07/2020	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Registered REP/Investment Advisor	Y	Mankato, MN, United States



Registration and Employment History

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: Riverfront Holdings, LLC Investment Related: Yes Address: 208 Mayan Way Mankato MN 56001 Nature of Business: Real Estate Position, Title or Relationship: Owner Start Date: 4/1/2020 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Upkeep

Business Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2 Ste. 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Financial Advisor Start Date: 9/21/2020 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: Assess client needs, choose appropriate investments

Business Name: Riverfront Wealth Management, Inc. DBA Riverfront Wealth Management Investment Related: Yes Address: 208 Mayan Way Mankato MN 56001 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: Financial Advisor Start Date: 9/21/2020 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: To meet with clients, assess their individual situations, plan their investment strategy, implement the plan

Business Name: DEFERRED SALES TRUST POSITION: Member NATURE: Referring pertinent cases to a Law firm, so that I can hold and manage the proceeds of the sale at Kestra. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/07/2022 ADDRESS: 45110 Club Drive, Suite B, Indian Wells CA 92210 DESCRIPTION: Referring pertinent cases to the law firm

Business Name: SCHOLA FOUNDATION AND ITS SUBSIDIARY: CRUSADER HOL POSITION: Officer on the Crusader Holdings Board which is a Subsidiary of the Schola Foundation NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/02/2015 ADDRESS: 145 Good Counsel Dr, Mankato MN 56001 DESCRIPTION: Attend the meetings

Business Name: CRUSADER HOLDINGS A SUBSIDIARY OF THE SCHOLA FOUNDATION POSITION: President of the Crusader Holdings Board which is a Subsidiary of the Schola Foundation NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2024 ADDRESS: 145 Good Counsel Dr, Mankato MN 56001 DESCRIPTION: Attend and lead the meetings, address specific issues regarding the property held by Crusader Holdings.

End of Report



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