

## BrokerCheck Report

**GARY DEAN RYBERG**

CRD# 2530818

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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).

**GARY D. RYBERG**

CRD# 2530818

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

- IA KESTRA ADVISORY SERVICES, LLC**  
 125 Main Street  
 Ste 207  
 Williston, ND 58801  
 CRD# 283330  
 Registered with this firm since: 11/15/2021
- B KESTRA INVESTMENT SERVICES, LLC**  
 125 Main St  
 Ste 207  
 Williston, ND 58801  
 CRD# 42046  
 Registered with this firm since: 11/12/2021

**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
- 7 U.S. states and territories

**This broker has passed:**

- 0 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):**

- B LPL FINANCIAL LLC**  
 CRD# 6413  
 WILLISTON, ND  
 01/2016 - 11/2021
- IA PERSONAL WEALTH PARTNERS LLC**  
 CRD# 172055  
 BLOOMINGTON, MN  
 03/2016 - 11/2021
- IA TIAA-CREF ADVICE AND PLANNING SERVICES**  
 CRD# 20472  
 NEW YORK, NY  
 03/2014 - 09/2015

**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 7 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	North Dakota	Investment Adviser Representative	Approved	11/15/2021

### Branch Office Locations

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

125 Main Street  
 Ste 207  
 Williston, ND 58801

### 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 Representative	Approved	11/12/2021



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/12/2021

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	11/12/2021
<b>B</b> Florida	Agent	Approved	01/02/2025
<b>B</b> Illinois	Agent	Approved	08/25/2023
<b>B</b> Minnesota	Agent	Approved	11/17/2021
<b>B</b> Montana	Agent	Approved	11/12/2021
<b>B</b> Nevada	Agent	Approved	11/17/2021
<b>B</b> North Dakota	Agent	Approved	11/12/2021

### Branch Office Locations

#### KESTRA INVESTMENT SERVICES, LLC

125 Main St  
Ste 207  
Williston, ND 58801



## 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 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### 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	05/05/2000
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	08/05/1998

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	08/28/2006
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/16/1998

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 **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 01/2016 - 11/2021	LPL FINANCIAL LLC	6413	WILLISTON, ND
<b>IA</b> 03/2016 - 11/2021	PERSONAL WEALTH PARTNERS LLC	172055	Williston, ND
<b>IA</b> 03/2014 - 09/2015	TIAA-CREF ADVICE AND PLANNING SERVICES	20472	FARGO, ND
<b>B</b> 03/2014 - 09/2015	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	FARGO, ND
<b>IA</b> 01/2013 - 12/2013	CAPITAL FINANCIAL SERVICES, INC.	8408	KENMARE, ND
<b>B</b> 01/2013 - 12/2013	CAPITAL FINANCIAL SERVICES, INC.	8408	KENMARE, ND
<b>B</b> 01/2007 - 11/2012	FIDELITY BROKERAGE SERVICES LLC	7784	EDINA, MN
<b>B</b> 05/2006 - 10/2006	CHASE INVESTMENT SERVICES CORP.	25574	BEDFORD, TX
<b>IA</b> 05/2006 - 10/2006	CHASE INVESTMENT SERVICES CORP.	25574	BEDFORD, TX
<b>B</b> 04/2001 - 05/2006	FIDELITY BROKERAGE SERVICES LLC	7784	SMITHFIELD, RI
<b>B</b> 04/2000 - 01/2001	J. P. MORGAN ADVISORS, INC.	102920	NEW YORK, NY
<b>B</b> 08/1998 - 04/2000	AMERICAN CENTURY INVESTMENT SERVICES INC.	17437	KANSAS CITY, MO
<b>B</b> 08/1994 - 12/1994	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ

### 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
11/2021 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Williston, ND, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Kestra Investment Services, LLC	Registered Rep	Y	Williston, ND, United States
01/2016 - 11/2021	LPL FINANCIAL, LLC	Registered Representative	Y	Williston, ND, United States
01/2016 - 11/2021	Personal Wealth Partners LLC	Investment Adviser Representative	Y	Williston, ND, United States
09/2015 - 01/2016	Elkhorn Financial	President	N	Kenmare, ND, 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. 03/23/2016; Personal Wealth Partners, LLC; Registered Investment Advisor Hybrid; (Hybrid) Personal Wealth Partners, LLC; INV REL; AT REPORTED BUSINESS LOCATION(S); START DATE 1/19/2016; TIME SPENT 20%

2. 6/18/2018 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 06/01/2018 - 1 Hour Per Month During Securities Trading.

3. 6/21/2018 - No Business Name - Not Investment Related - Kenmare, ND 58746 - Real Estate Rental - Started 02/01/2016 - 1 Hours Per Month/0 Hours During Securities Trading - Own a building that is part condo and part office.

4. 10/26/2018 - Personal Wealth Partners, LLC - Not Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:10/01/2018 - 200 Hours Per Month/6 Hours During Trading.

Business Name: KESTRA ADVISORY SERVICES POSITION: Financial Advisor NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 100 START DATE: 11/12/2021 ADDRESS: 5707 Southwest Parkway Building 2 Ste. 400, Austin TX 78735 DESCRIPTION: Provide clients advisory business

Business Name: ELKHORN FINANCIAL INC. POSITION: President NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 01/03/2023 ADDRESS: 125 Main St., Suite 207, Williston ND 58801 DESCRIPTION: I am going to offer long term care, life insurance and fixed annuities to my clients.

Business Name: ELKHORN FINANCIAL POSITION: President NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 132 START DATE: 11/12/2021 ADDRESS: 1905 2nd Ave E, Williston ND 58801 DESCRIPTION: I will be the sole advisor to manage assets and assist clients in their overall financial planning process.

## Registration and Employment History



### Other Business Activities, continued

Business Name: GARY RYBERG POSITION: Sole Owner NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 8  
SECURITIES TRADING HOURS: 7 START DATE: 11/01/2012 ADDRESS: 26 2nd St NW, Kenmare ND 58746, United States DESCRIPTION: I  
rent out a office/condo building that I own.

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## End of Report



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