

BrokerCheck Report

ERIC STEVEN BLUMENCRANZ

CRD# 2872498

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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.

**ERIC S. BLUMENCRANZ**

CRD# 2872498

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

- IA KESTRA ADVISORY SERVICES, LLC**
 45 Executive Dr.
 Plainview, NY 11803
 CRD# 283330
 Registered with this firm since: 06/22/2021
- B KESTRA INVESTMENT SERVICES, LLC**
 45 Executive Dr.
 Plainview, NY 11803
 CRD# 42046
 Registered with this firm since: 10/22/2015

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
- 14 U.S. states and territories

This broker has passed:

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

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

- B PARK AVENUE SECURITIES LLC**
 CRD# 46173
 PLAINVIEW, NY
 05/1999 - 10/2015
- B GUARDIAN INVESTOR SERVICES CORPORATION**
 CRD# 6635
 NEW YORK, NY
 04/1997 - 05/1999
- B NATHAN & LEWIS SECURITIES, INC.**
 CRD# 8503
 NEW YORK, NY
 04/1998 - 12/1998

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 14 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	New York	Investment Adviser Representative	Approved	06/22/2021

Branch Office Locations

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

45 Executive Dr.
 Plainview, NY 11803

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	Invest. Co and Variable Contracts	Approved	10/22/2015



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Investment Co./Variable Contracts Prin	Approved	10/22/2015

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	05/06/2022
B California	Agent	Approved	10/22/2015
B Colorado	Agent	Approved	02/02/2016
B Connecticut	Agent	Approved	10/22/2015
B Florida	Agent	Approved	10/22/2015
B Georgia	Agent	Approved	10/22/2015
B Illinois	Agent	Approved	10/22/2015
B Massachusetts	Agent	Approved	02/02/2016
B Nevada	Agent	Approved	10/22/2015
B New Jersey	Agent	Approved	10/22/2015
B New York	Agent	Approved	10/22/2015
B Ohio	Agent	Approved	10/23/2015
B Pennsylvania	Agent	Approved	10/22/2015
B South Dakota	Agent	Approved	04/15/2024

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

45 Executive Dr.
Plainview, NY 11803



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	02/11/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/10/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/16/1997

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 05/1999 - 10/2015	PARK AVENUE SECURITIES LLC	46173	PLAINVIEW, NY
B 04/1997 - 05/1999	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY
B 04/1998 - 12/1998	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY

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
10/2015 - Present	Kestra Advisory Services, LLC.	Financial Advisor	Y	Plainview, NY, United States
10/2015 - Present	Kestra Investment Services, LLC.	Registered Representative	Y	Plainview, NY, United States
08/1990 - Present	BWD GROUP LTD	OTHER - PRINCIPLE	N	LAKE SUCCESS, NY, United States
09/1987 - Present	BWD GROUP LTD	OTHER - VPRESIDENT	N	LAKE SUCCESS, NY, United States
08/2011 - 10/2015	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	PLAINVIEW, NY, United States
08/1987 - 10/2015	GUARDIAN LIFE INSURANCE CO OF AMERICA	OTHER - FULL TIME AGENT	N	NEW YORK, NY, 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: BWD Group LLC; NFP Corporate Services Investment Related: Yes Address: 45 Executive Dr. Plainview NY 11803 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance Position, Title or

Registration and Employment History



Other Business Activities, continued

Relationship: Managing Director Start Date: 7/31/2015 Hours per month: 71% - 80% (113 - 128 hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: Manage staff, sales of all types of insurance, annuities, retirement plans, benefits, etc. Business Name: Alpine Capital Bank Investment Related: Yes Address: 680 fifth ave new york NY 10019 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.); Other Bank or Credit Union Position, Title or Relationship: Director Start Date: 3/1/2000 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: member of the board and member of audit committee Business Name: North Shore LIJ Health System Investment Related: No Address: 145 Community drive manhasset NY 11030 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Board of Trustees Start Date: 4/1/2005 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: support the mission of the health system Business Name: NCPD Explorers Investment Related: No Address: 1492 franklin ave garden city NY 11530 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Director Start Date: 10/9/2009 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: raise money Business Name: Legal Services for Suffolk PBA Investment Related: No Address: 868 Church street bohemia NY 11716 Nature of Business: Legal/Attorney/Trustee/Executor Position, Title or Relationship: advisor to fund Start Date: 12/1/2010 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: If and when a member of a fund has a problem with any providing member, I am to review and report back my recommendations to the board. I arbitrate between various councils and police officers, providing services when a dispute occurs. Business Name: Ronald McDonald House of Long Island Investment Related: No Address: 267-07 76th avenue new hyde park NY 11040 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Director

my position has changed I am now one of two co vice chairpersons and chair of the governance committee. Start Date: 1/15/2009 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Help support the house and its mission. Business Name: Nassau County Police Department Foundation Investment Related: No Address: 734 Franklin Ave Garden city NY 11530 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Chariman of the board of directors Start Date: 1/21/2010 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Be the liaison between the ncpd and the board and to establish how and when the foundation will support the mission that the county executive and police commissioner set out. Business Name: T2 Asset Group, LLC Investment Related: No Address: 230 Duffy Ave, Unit C Hicksville NY 11801 Nature of Business: Other Other/None of the Above Tactical training facility Position, Title or Relationship: Managing Member Start Date: 8/9/2010 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: run management committee

End of Report



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