BrokerCheck Report

NATHAN DONALD SEALEY

CRD# 2997307

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.

NATHAN D. SEALEY

CRD# 2997307

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

IA **KESTRA ADVISORY SERVICES, LLC**
799 HARRISON ST
LAPEER, MI 48446
CRD# 283330
Registered with this firm since: 04/21/2016

B **KESTRA INVESTMENT SERVICES, LLC**
7300 DIXIE HWY
SUITE 800
CLARKSTON, MI 48346
CRD# 42046
Registered with this firm since: 10/17/2014

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
- 33 U.S. states and territories

This broker has passed:

- 3 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
10/2014 - 09/2016

IA **NEXT FINANCIAL GROUP, INC.**
CRD# 46214
HOUSTON, TX
04/2010 - 10/2014

B **NEXT FINANCIAL GROUP, INC.**
CRD# 46214
DAVISON, MI
09/2004 - 10/2014

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
Judgment/Lien	7

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 33 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	Michigan	Investment Adviser Representative	Approved	04/21/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

799 HARRISON ST
LAPEER, MI 48446

1390 N LEROY ST
FENTON, MI 48430

5072 CORUNNA RD
FLINT, MI 48532

7026 W VIENNA RD
CLIO, MI 48420

2305 S CENTER RD
BURTON, MI 48519

Broker Qualifications

Employment 1 of 2, continued

8415 DAVISON RD
DAVISON, MI 48423

7300 DIXIE HWY, SUITE 800
CLARKSTON, MI 48346

CLARKSTON, MI

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	10/17/2014
B	FINRA	General Securities Representative	Approved	10/17/2014
B	FINRA	Municipal Fund	Approved	10/17/2014
B	FINRA	Registered Options Principal	Approved	10/17/2014

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/17/2014
B	Arizona	Agent	Approved	10/17/2014
B	Arkansas	Agent	Approved	03/04/2024
B	California	Agent	Approved	10/17/2014
B	Colorado	Agent	Approved	02/01/2024
B	Florida	Agent	Approved	10/17/2014

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	12/07/2023
B	Illinois	Agent	Approved	04/10/2015
B	Indiana	Agent	Approved	03/19/2024
B	Iowa	Agent	Approved	12/01/2023
B	Kentucky	Agent	Approved	02/20/2024
B	Louisiana	Agent	Approved	02/26/2024
B	Maine	Agent	Approved	12/13/2023
B	Massachusetts	Agent	Approved	01/05/2024
B	Michigan	Agent	Approved	10/17/2014
B	Minnesota	Agent	Approved	01/05/2024
B	Nebraska	Agent	Approved	01/04/2024
B	Nevada	Agent	Approved	07/20/2021
B	New Jersey	Agent	Approved	01/05/2024
B	New York	Agent	Approved	10/17/2014
B	North Carolina	Agent	Approved	10/25/2018
B	Ohio	Agent	Approved	08/05/2020
B	Oklahoma	Agent	Approved	01/22/2024
B	Oregon	Agent	Approved	10/17/2014
B	Pennsylvania	Agent	Approved	12/22/2022
B	South Carolina	Agent	Approved	10/17/2014
B	Tennessee	Agent	Approved	11/03/2020

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	10/17/2014
B	Utah	Agent	Approved	03/12/2024
B	Vermont	Agent	Approved	12/15/2023
B	West Virginia	Agent	Approved	11/20/2023
B	Wisconsin	Agent	Approved	12/07/2023
B	Wyoming	Agent	Approved	02/21/2024

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC
7300 DIXIE HWY
SUITE 800
CLARKSTON, MI 48346

KESTRA INVESTMENT SERVICES, LLC
7026 W VIENNA RD
CLIO, MI 48420

KESTRA INVESTMENT SERVICES, LLC
8415 DAVISON RD
DAVISON, MI 48423

KESTRA INVESTMENT SERVICES, LLC
6019 Grande Point Blvd
Grand Blanc, MI 48439

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination	Series 4	02/21/2005
B	Municipal Fund Securities Principal Examination	Series 51	09/02/2004
B	General Securities Principal Examination	Series 24	11/10/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/26/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	06/26/1998
B	Uniform Securities Agent State Law Examination	Series 63	01/30/1998

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/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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
IA	10/2014 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	BURTON, MI
IA	04/2010 - 10/2014	NEXT FINANCIAL GROUP, INC.	46214	DAVISON, MI
B	09/2004 - 10/2014	NEXT FINANCIAL GROUP, INC.	46214	DAVISON, MI
B	07/2002 - 10/2004	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA
B	02/1998 - 07/2002	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT
B	01/1998 - 02/1998	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH

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	CLIO, MO, United States
10/2014 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CLIO, MO, United States
10/2014 - 04/2016	NFP ADVISOR SERVICES	REGISTERED REPRESENTATIVE	Y	AUSTIN, TX, 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: Brass Ring Wealth Management, Inc. Investment Related: Yes Address: 7300 Dixie Hwy Ste. 800 Clarkston MI 48346 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through Kestra Advisory Services, LLC   Position, Title or Relationship: Owner Start Date: 1/1/2000 Hours per month: 51% - 60% (81 - 96

Registration and Employment History

Other Business Activities, continued

hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: Investment advisory services and securities and Insurance Sales and Service Business Name: Elga Wealth Management Investment Related: Yes Address: 8415 Davison Rd. Davison MI 48423 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through Kestra Advisory Services, LLC   Position, Title or Relationship: Partner Start Date: 1/1/2002 Hours per month: 31% - 40% (49 - 64 hours) Hours per month during trading hours: 31% - 40% (43 - 56 hours) Duties: Investment advisory services and securities and Insurance Sales and Service 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 to 160 hours) Duties: Investment advisory services Business Name: NDS Financial Services Investment Related: No Address: 7300 Dixie Hwy Ste. 800 Clarkston MI 48346 Nature of Business: Insurance   Position, Title or Relationship: Owner Start Date: 12/1/1998 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Insurance Sales and Service

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Judgment/Lien	7	N/A	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$129,066.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/27/2023
Date Individual Learned:	05/17/2024
Type of Court:	State Court
Name of Court:	Oakland County
Location of Court:	Pontiac, MI
Docket/Case #:	138986
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$145,923.00
Judgment/Lien Type:	Tax
Date Filed with Court:	11/02/2023
Date Individual Learned:	05/17/2024

Type of Court:	State Court
Name of Court:	Oakland County Court
Location of Court:	Oakland, MI
Docket/Case #:	481186823
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	$53,387.06
Judgment/Lien Type:	Tax
Date Filed with Court:	06/27/2023
Date Individual Learned:	08/07/2023
Type of Court:	State Court
Name of Court:	Oakland County
Location of Court:	Oakland, MI
Docket/Case #:	68687
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	$33,514.48
Judgment/Lien Type:	Tax
Date Filed with Court:	02/18/2022
Date Individual Learned:	06/10/2022
Type of Court:	State Court
Name of Court:	Oakland County Court

Location of Court:	Oakland, MI
Docket/Case #:	324996
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$306,727.20
Judgment/Lien Type:	Tax
Date Filed with Court:	01/25/2022
Date Individual Learned:	06/10/2022
Type of Court:	Federal Court
Name of Court:	Oakland County Court
Location of Court:	Oakland, MI
Docket/Case #:	303403
Judgment/Lien Outstanding?	Yes

Disclosure 6 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$82,363.48
Judgment/Lien Type:	Tax
Date Filed with Court:	05/01/2018
Date Individual Learned:	05/29/2019
Type of Court:	Federal Court
Name of Court:	Department of the Treasury - Internal Revenue Service
Location of Court:	OAKLAND COUNTY, MI
Docket/Case #:	BK51769PG043.
Judgment/Lien Outstanding?	Yes

Disclosure 7 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$120,235.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/23/2015
Date Individual Learned:	10/13/2016
Type of Court:	Unknown
Name of Court:	Oakland County Register of Deeds
Location of Court:	Oakland, MI
Docket/Case #:	247974
Judgment/Lien Outstanding?	Yes
Broker Statement	I have been discussing outstanding tax bills and working with the IRS, an arbitrator, and my CPA to address the issue. A lien was discussed but I have not received notice of lien nor been contacted in more than 30 days.

End of Report

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