

BrokerCheck Report

JON CHRISTOPHER VINGE

CRD# 4445831

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



JON C. VINGE

CRD# 4445831

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

B **KESTRA INVESTMENT SERVICES, LLC**
Seattle , WA 98199
CRD# 42046
Registered with this firm since: 06/06/2023

IA **KESTRA ADVISORY SERVICES, LLC**
Seattle, WA 98199
CRD# 283330
Registered with this firm since: 06/07/2023

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:

- 0 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** **INTERVEST INTERNATIONAL, INC.**
CRD# 111516
COLORADO SPRINGS, CO
08/2007 - 06/2023
- B** **INTERVEST INTERNATIONAL EQUITIES CORPORATION**
CRD# 20289
Seattle, WA
08/2007 - 06/2023
- IA** **CENTARA CAPITAL MANAGEMENT GROUP, INC.**
CRD# 114880
SAN DIEGO, CA
05/2006 - 08/2007

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
Customer Dispute	3



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	Texas	Investment Adviser Representative	Restricted Approval	06/07/2023
IA	Washington	Investment Adviser Representative	Approved	08/17/2023

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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	06/06/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/17/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	06/14/2023
B	Arizona	Agent	Approved	08/02/2023
B	California	Agent	Approved	06/06/2023
B	Colorado	Agent	Approved	09/07/2023
B	District of Columbia	Agent	Approved	08/17/2023
B	Florida	Agent	Approved	09/25/2023
B	Georgia	Agent	Approved	06/08/2023
B	Idaho	Agent	Approved	06/22/2023
B	Iowa	Agent	Approved	09/08/2023
B	Louisiana	Agent	Approved	08/23/2023
B	Maryland	Agent	Approved	08/22/2023
B	Massachusetts	Agent	Approved	06/14/2023
B	Michigan	Agent	Approved	07/03/2023
B	Minnesota	Agent	Approved	08/21/2023
B	Missouri	Agent	Approved	11/15/2023
B	Montana	Agent	Approved	08/21/2023
B	Nevada	Agent	Approved	08/29/2023
B	New Hampshire	Agent	Approved	08/30/2023
B	New Jersey	Agent	Approved	08/23/2023
B	North Carolina	Agent	Approved	08/23/2023
B	Ohio	Agent	Approved	06/07/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	08/09/2023
B	Pennsylvania	Agent	Approved	08/18/2023
B	Rhode Island	Agent	Approved	07/12/2023
B	South Carolina	Agent	Approved	08/24/2023
B	South Dakota	Agent	Approved	08/17/2023
B	Tennessee	Agent	Approved	08/17/2023
B	Texas	Agent	Approved	08/01/2023
B	Utah	Agent	Approved	09/29/2023
B	Virginia	Agent	Approved	08/17/2023
B	Washington	Agent	Approved	08/17/2023
B	Wisconsin	Agent	Approved	08/17/2023

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

4724 W. Ruffner St
Seattle , WA 98199



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.

This individual has passed 0 principal/supervisory exams, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/20/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/11/2005
B Uniform Securities Agent State Law Examination	Series 63	10/08/2001

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 08/2007 - 06/2023	INTERVEST INTERNATIONAL, INC.	111516	Seattle, WA
B 08/2007 - 06/2023	INTERVEST INTERNATIONAL EQUITIES CORPORATION	20289	Seattle, WA
IA 05/2006 - 08/2007	CENTARA CAPITAL MANAGEMENT GROUP, INC.	114880	SAN DIEGO, CA
B 05/2006 - 08/2007	CENTARA CAPITAL SECURITIES, INC.	130702	SAN DIEGO, CA
IA 09/2005 - 05/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	3641	SAN DIEGO, CA
B 09/2001 - 05/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	3641	SAN DIEGO, CA
IA 07/2005 - 09/2005	FIRST COMMAND BANK	128851	FORT WORTH, TX

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
06/2023 - Present	Kestra Advisory Services, LLC	Investment Advisory Rep	Y	Seattle, WA, United States
06/2023 - Present	Kestra Investment Services, LLC	Registered Rep	Y	Seattle, WA, United States
05/2006 - Present	CENTARA CAPITAL	REP	Y	SAN DIEGO, CA, United States
05/2006 - Present	CENTARA CAPITAL MANAGEMENT GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, CA, United States
08/2007 - 06/2023	INTERVEST INTERNATIONAL EQUITIES CORP	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States

Registration and Employment History



Employment History, continued

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: BE FINANCIALLY SOUND POSITION: RR NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 160
SECURITIES TRADING HOURS: 130 START DATE: 05/22/2023 ADDRESS: 4724 W. RUFFNER ST, SEATTLE WA 98199, United States
DESCRIPTION: RR

Business Name: KESTRA ADVISORY SERVICES LLC POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services,
LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 05/22/2023 ADDRESS:
5707 SW Pkwy, Blg 2, STE 400, Austin TX 78735, United States DESCRIPTION: IAR

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Customer Dispute	1	2	N/A



Disclosure Event Details

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

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INTERVEST INTERNATIONAL EQUITIES CORP.
Allegations:	Claimant(s) allege Breach of Fiduciary Duty, Suitability, misrepresentations and omissions, violation of FINRA rules and failure to supervise .
Product Type:	Other: GWG L-Bond
Alleged Damages:	\$183,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Washington DC
Docket/Case #:	22+02096
Filing date of arbitration/CFTC reparation or civil litigation:	09/13/2022

Customer Complaint Information

Date Complaint Received: 09/27/2022



Complaint Pending? No

Status: Settled

Status Date: 10/31/2023

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORP.

Allegations: Claimant(s) allege Breach of Fiduciary Duty, Suitability, misrepresentations and omissions, violation of FINRA rules and failure to supervise .

Product Type: Other: GWG L-Bonds

Alleged Damages: \$183,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: Washington DC

Docket/Case #: 22-02096

Filing date of arbitration/CFTC reparation or civil litigation: 09/13/2022

Customer Complaint Information

Date Complaint Received: 09/27/2022

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



Broker Statement

Products were explained in detail to the clients. In over a decade of working with the clients portfolio was diversified to meet investment objectives and compliance requirements.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INTERVEST INTERNATIONAL EQUITIES CORPORATION
Allegations:	Claimant(s) allege Breach of Fiduciary Duty, Suitability, Material misrepresentations and omitted material information, violation of FINRA rules, failure to supervise and breach of contract.
Product Type:	Other: GWG L-Bonds
Alleged Damages:	\$373,000.00
Alleged Damages Amount Explanation (if amount not exact):	Two reps named in this arbitration. Jon Vinge - Damages \$90,000 Jon Ellefson - Damages \$283,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Jacksonville, FL
Docket/Case #:	22-01406
Filing date of arbitration/CFTC reparation or civil litigation:	06/23/2022

Customer Complaint Information

Date Complaint Received:	06/28/2022
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/02/2023



Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

Products were explained in detail to the clients. In over a decade of working with the clients portfolio was diversified to meet investment objectives and compliance requirements. Only \$75,000 of this arbitration involves Mr. Vinge's clients.

Mr. Vinge's clients, in this case, voluntarily withdrew their claim.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INTERVEST INTERNATIONAL EQUITIES CORPORATION
Allegations:	Claimant [REDACTED] alleges violations of federal & State securities laws, breach of fiduciary duties and negligence, breach of contract, common law fraud, failure to supervise, misrepresentation and omissions, unsuitable investments and failure to act in the best interest of the client.
Product Type:	Other: GWG L-Bond , GK Bonds
Alleged Damages:	\$701,211.32
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-01398
Date Notice/Process Served:	03/01/2023
Arbitration Pending?	Yes
Broker Statement	Products were explained in detail to the client. During the course of the working relationship the clients portfolio was diversified to meet investment objectives and compliance requirements. Only \$111,713.57 of this arbitration involves Mr Vinge's client.

End of Report



This page is intentionally left blank.