

BrokerCheck Report

Amy Michelle Dunham

CRD# 4697272

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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.



Amy M. Dunham

CRD# 4697272

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

IA KESTRA PRIVATE WEALTH SERVICES, LLC

409 Airport Rd
Suite 102
Griffin, GA 30224
CRD# 155193

Registered with this firm since: 03/11/2025

B KESTRA INVESTMENT SERVICES, LLC

409 Airport Rd
Suite 101
Griffin, GA 30224
CRD# 42046

Registered with this firm since: 03/11/2025

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
- 17 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 EDWARD JONES

CRD# 250
ST. LOUIS, MO
04/2008 - 03/2025

B EDWARD JONES

CRD# 250
GRIFFIN, GA
03/2008 - 03/2025

IA 1717 CAPITAL MANAGEMENT COMPANY

CRD# 4082
NEWARK, DE
07/2007 - 03/2008

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	1



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 17 U.S. states and territories through his or her employer.

Employment 1 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	03/11/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/11/2025
B	California	Agent	Approved	03/11/2025
B	Florida	Agent	Approved	03/11/2025
B	Georgia	Agent	Approved	03/11/2025
B	Illinois	Agent	Approved	03/11/2025
B	Indiana	Agent	Approved	03/11/2025
B	Kansas	Agent	Approved	03/12/2025
B	Kentucky	Agent	Approved	03/11/2025
B	Maryland	Agent	Approved	03/11/2025
B	Michigan	Agent	Approved	03/12/2025
B	New York	Agent	Approved	08/19/2025
B	North Carolina	Agent	Approved	03/14/2025



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	03/12/2025
B	Tennessee	Agent	Approved	03/11/2025
B	Texas	Agent	Approved	03/11/2025
B	Virginia	Agent	Approved	03/12/2025
B	Wisconsin	Agent	Approved	06/23/2025

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

409 Airport Rd
Suite 101
Griffin, GA 30224

Employment 2 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**
Main Office Address: **5707 SOUTHWEST PARKWAY
BLDG. 2 STE 400
AUSTIN, TX 78735**
Firm CRD#: **155193**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	03/14/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/11/2025

Branch Office Locations

5707 SOUTHWEST PARKWAY

Broker Qualifications



Employment 2 of 2, continued

BLDG. 2 STE 400
AUSTIN, TX 78735

409 Airport Rd
Suite 102
Griffin, GA 30224



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, 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 General Securities Representative Examination	Series 7	11/21/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/01/2004
B Uniform Securities Agent State Law Examination	Series 63	03/08/2004

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 04/2008 - 03/2025	EDWARD JONES	250	GRIFFIN, GA
B 03/2008 - 03/2025	EDWARD JONES	250	GRIFFIN, GA
IA 07/2007 - 03/2008	1717 CAPITAL MANAGEMENT COMPANY	4082	FAYETTEVILLE, GA
B 04/2005 - 03/2008	NATIONWIDE SECURITIES, INC.	11173	FAYETTEVILLE, GA
IA 12/2004 - 01/2005	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	ATLANTA, GA
B 11/2003 - 01/2005	PRUCO SECURITIES, LLC.	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
01/2025 - Present	KESTRA PRIVATE WEALTH SERVICES, LLC	Investment Advisor	Y	St. Louis, MO, United States
01/2025 - Present	Kestra Investment Services LLC	Registered Representative	Y	St. Louis, MO, United States
03/2008 - 01/2025	EDWARD JONES	FINANCIAL ADVISOR	Y	ST. LOUIS, MO, 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.

Bus Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR



Registration and Employment History

Other Business Activities, continued

Bus Name: SPALDING COUNTY ELECTIONS POSITION: Asst Poll Mger NATURE: Voting Poll Worker INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2022
ADDRESS: 825 Memorial Dr, Griffin GA 30224, United States DESCRIPTION: Help with maintaining and ethical and legal voting poll and asset voters in casting their ballot

Bus Name: HUNTER DUNHAM RACING LLC POSITION: Secretary NATURE: Motorcycle Racing Team INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 05/23/2019
ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: Current I just help Tony & Hunter make sure deposits are made and bills are paid.

Bus Name: INSPIRED WEALTH PARTNERS POSITION: Financial Advisor NATURE: Insurance INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025
ADDRESS: 118 N Expressway, Griffin GA 30223, United States DESCRIPTION: Help with planning & management of client financial accounts

Bus Name: TAYLOR HOLDINGS GROUP POSITION: Owner NATURE: LLC for tax purposes INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/02/2025
ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: report income for tax purposes

Bus Name: J TAYLOR HOLDINGS LLC POSITION: owner NATURE: Real Estate INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2025
ADDRESS: 4998 Newnan Rd, Griffin GA 30223, United States DESCRIPTION: own and maintain building

Bus Name: FIVE LOAVES AND TWO FISH FOOD PANTRY POSITION: Chairman of the Board NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2010 ADDRESS: 412 W Slaton Ave, Griffin GA 30223, United States DESCRIPTION: Chairman of the board overseeing the day to day operation with the board. Our Director reports to me for anything daily that needs to be handled

Bus Name: KIWANIS CLUB OF GRIFFIN POSITION: Finance Committee, Fair board member NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No # OF HOURS: 12 SECURITIES TRADING HOURS: 1 START DATE: 09/09/2014
ADDRESS: 1025 S Hill St, Griffin GA 30224, United States DESCRIPTION: With a committee and a board we make financial decision for the club. How to raise money for our community projects and invest the funds of the club for service projects, scholarships and the fair.

Bus Name: INSPIRED WEALTH PLANNING POSITION: Financial Advisor NATURE: Insurance INVESTMENT RELATED: Yes, # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 03/05/2025
ADDRESS: 118 N Expressway, Griffin GA 30223, United States DESCRIPTION: Help with planning & management of client financial accounts

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.
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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.
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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	0	1	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: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT ALLEGES, IN MAY, HE INSTRUCTED THE FA TO SELL APPLE STOCK AND ADVISED HER THAT HE WAS TRYING TO BUILD A CASH POSITION. HE THEN INTENDED ON TRANSFERRING THE ACCOUNT(S) TO ANOTHER FA. CLIENT INDICATES THE FA INSTEAD INVESTED THE APPLE PROCEEDS INTO LORD ABBETT FUNDS. CLIENT CONTACTED THE FA ABOUT CORRECTING THE SITUATION AND IT WAS DISCOVERED THE LORD ABBETT FUNDS WERE UP IN VALUE; THEREFORE, HE PROVIDED INSTRUCTIONS TO SELL THE MUTUAL FUNDS AND TRANSFER THE ACCOUNTS TO THE NEW FA. CLIENT STATES THE MUTUAL FUNDS WERE NOT SOLD, BUT THE ACCOUNTS WERE TRANSFERRED TO THE NEW FA. CLIENT STATES HE HAS TRIED VERY HARD TO WORK WITH THE FA TO CORRECT THIS SITUATION; HOWEVER, SHE HAS CONSISTENTLY FAILED TO RETURN HIS CALL AND COMPLETED THE TRANSACTIONS HE HAS REQUESTED. CLIENT BELIEVES RESTORING THE CASH BALANCE IN HIS ACCOUNT TO \$155,593.15 AND HIS WIFE'S ACCOUNT OF \$157,678.86 WILL RESOLVE THIS MATTER. LOSSES EXCEED \$5,000.00 - FILING REQUIRED.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5,000



Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 08/24/2011

Complaint Pending? No

Status: Settled

Status Date: 11/14/2011

Settlement Amount: \$11,865.28

**Individual Contribution
Amount:** \$0.00

Broker Statement

THE FA HAS ACCEPTED RESPONSIBILITY FOR THIS ISSUE AND SOME CORRECTIVE ACTION(S) WERE TAKEN. TECHNICALLY, IN ORDER TO CORRECT THE TRADES IN QUESTION, THE MUTUAL FUND PURCHASES SHOULD HAVE BEEN CANCELLED WHICH WOULD HAVE RESULTED IN THE ORIGINAL AMOUNTS INVESTED BEING RETURNED TO THE ACCOUNT. INSTEAD, THE MUTUAL FUNDS WERE SOLD. BASED ON A COMPARISON OF THE PRICES RECEIVED AT THE TIME OF THE LIQUIDATIONS VERSUS THE PRICES OF THE FUNDS ON JULY 26, 2011 (THE DATE IT APPEARS THE CLIENTS INTENDED ON LIQUIDATING), WE ARE EXTENDING THE FOLLOWING SETTLEMENT OFFERS TO THE CLIENTS: HUSBAND'S SRI ACCOUNT - \$959.88, WIFE'S SRI ACCOUNT - \$129.44, HUSBAND'S ROTH ACCOUNT - \$3,228.02 AND WIFE'S ROTH ACCOUNT - \$3,861.05. CLIENTS HAVE THIRTY DAYS IN WHICH TO RESPOND TO THE OFFERS. SENT AMENDED OFFERS TO THE CLIENTS ON 10/25/2011. CLIENTS HAVE THIRTY DAYS IN WHICH TO RESPOND. CLIENTS REJECTED INITIAL OFFERS AND AMENDED OFFERS WERE EXTENDED. CLIENTS ACCEPTED CASH SETTLEMENT OFFERS IN THE TOTAL AMOUNT OF \$11,865.28 AS WELL AS THE CANCELLATION OF THE JUNE 27, 2011 PURCHASES OF SOUTHERN CO IN EACH OF THE ROTH ACCOUNTS AT NO LOSS TO THEM. COMPLAINT RESOLVED.

End of Report



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