BrokerCheck Report

ERIC DONATO PUCCIARELLI

CRD# 5130128

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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 D. PUCCIARELLI

CRD# 5130128

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

IA **KESTRA ADVISORY SERVICES, LLC**
11800 Amberpark Drive Suite 240
ALPHARETTA, GA 30009
CRD# 283330
Registered with this firm since: 04/27/2016

B **KESTRA INVESTMENT SERVICES, LLC**
11800 Amberpark Drive Suite 240
Alpharetta, GA 30009
CRD# 42046
Registered with this firm since: 09/10/2015

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
- 21 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **NFP ADVISOR SERVICES, LLC**
CRD# 42046
AUSTIN, TX
10/2015 - 09/2016

IA **INVESTACORP ADVISORY SERVICES INC**
CRD# 109011
MIAMI, FL
09/2008 - 09/2015

B **INVESTACORP, INC.**
CRD# 7684
ALPHARETTA, GA
09/2008 - 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1
Termination	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 21 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	Georgia	Investment Adviser Representative	Approved	04/27/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

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

11800 Amberpark Drive Suite 240
ALPHARETTA, GA 30009

577 Ralph McGill Blvd NE
Atlanta, GA 30312

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Office Address: **5707 SOUTHWEST PARKWAY**
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **42046**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/10/2015

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/24/2017
B	Arizona	Agent	Approved	12/21/2015
B	California	Agent	Approved	07/03/2018
B	Florida	Agent	Approved	10/09/2015
B	Georgia	Agent	Approved	09/10/2015
B	Illinois	Agent	Approved	06/03/2019
B	Louisiana	Agent	Approved	07/13/2016
B	Maryland	Agent	Approved	06/30/2020
B	Michigan	Agent	Approved	05/26/2021
B	Minnesota	Agent	Approved	06/02/2020
B	Mississippi	Agent	Approved	03/02/2017
B	New Jersey	Agent	Approved	07/29/2019
B	New York	Agent	Approved	09/10/2015
B	North Carolina	Agent	Approved	09/10/2015
B	Ohio	Agent	Approved	08/22/2019
B	Pennsylvania	Agent	Approved	09/10/2015
B	South Carolina	Agent	Approved	09/10/2015
B	Tennessee	Agent	Approved	06/20/2016

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	10/19/2015
B	Virginia	Agent	Approved	11/08/2022
B	West Virginia	Agent	Approved	09/16/2024

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC
11800 Amberpark Drive Suite 240
Alpharetta, GA 30009

KESTRA INVESTMENT SERVICES, LLC
577 Ralph McGill Blvd NE
Atlanta, GA 30312

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 1 state securities law exam.

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	08/16/2006

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/31/2006

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	10/2015 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	Atlanta, GA
IA	09/2008 - 09/2015	INVESTACORP ADVISORY SERVICES INC	109011	ALPHARETTA, GA
B	09/2008 - 09/2015	INVESTACORP, INC.	7684	ALPHARETTA, GA
IA	09/2006 - 08/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ATLANTA, GA
B	08/2006 - 08/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ATLANTA, GA

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 ADVISER REPRESENTATIVE	Y	ALPHARETTA, GA, United States
04/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
09/2015 - 04/2016	NFP ADVISOR SERVICES	REGISTERED REP	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.

Name: EDP CONSULTING, LLC Investment Related: No Address: 35 Old Canton St. Alpharetta GA 30004 Nature of Business: Consulting; Other Other/None of the Above NA Position, Title or Relationship: Member Start Date: 1/17/2013 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: passive
coach advisors on how to systematize more of their business, use staff efficiently, and communicate with clients efficiently

Registration and Employment History

Other Business Activities, continued

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

Name: Peachtree Capital Holdings Investment Related: Yes Address: 35 Old Canton Rd Alpharetta GA 30009 Nature of Business: Real Estate Position, Title or Relationship: I am the member/owner of the LLC Start Date: 7/27/2016 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Marketing to and showing property to potential renters; paying mortgage, collecting rent, covering maintenance and repair expenses, from LLC bank account

Name: ESL ADVISERS POSITION: affiliate NATURE: referring business consulting services INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/15/2022 ADDRESS: 577 Ralph McGill Blvd, Atlanta GA 30312 DESCRIPTION: receive referral fee for engagements

Name: CLARIVISE PRIVATE WEALTH POSITION: Partner NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 140 SECURITIES TRADING HOURS: 110 START DATE: 05/01/2025 ADDRESS: 11800 Amber Park Dr., Suite 240, Alpharetta GA 30009, United States DESCRIPTION: production management of employees Sales and ongoing administration of financial dashboard 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:**
   - 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.
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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
Termination	N/A	1	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.

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:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	CLIENT ALLEGED HER ADVISOR DIDNOT LISTED TO HER REQUESTS AND PLACED HER IN UNSUITABLE INVESTMENTS RESULTING IN LOSSES.
Product Type:	Other
Other Product Type(s):	BROKERAGE/FUNDS
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	11/24/2008
Complaint Pending?	No
Status:	Settled
Status Date:	04/20/2009
Settlement Amount:	$81,202.71
Individual Contribution Amount:	$0.00
Firm Statement	OUR REVIEW INDICATED THE INVESTMENTS WERE UNSUITABLE. THE CLIENT WAS COMPENSATED FOR THEIR LOSSES.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	CLIENT ALLEGED HER ADVISOR DID NOT LISTEN TO HER REQUESTS AND PLACED HER IN UNSUITABLE INVESTMETNS RESULTING IN LOSSES.
Product Type:	Other
Other Product Type(s):	BROKERAGE/FUNDS
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	11/24/2008
Complaint Pending?	No
Status:	Settled
Status Date:	04/20/2009
Settlement Amount:	$81,202.71
Individual Contribution Amount:	$0.00

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	INVESTACORP, INC.
Termination Type:	Discharged
Termination Date:	09/08/2015
Allegations:	FAILURE TO FOLLOW RULES AND FIRM POLICY REGARDING APPROVED INVESTMENTS.
Product Type:	Other: CONSERVATION EASEMENT

Reporting Source:	Broker
Employer Name:	INVESTACORP, INC.
Termination Type:	Discharged
Termination Date:	09/08/2015
Allegations:	FAILURE TO FOLLOW RULES AND FIRM POLICY REGARDING APPROVED INVESTMENTS
Product Type:	Other: CONSERVATION EASEMENT
Broker Statement	To the best of their knowledge, Mr. Pucciarelli followed all policies and procedures of the firm and there were no allegations of customer harm related to this matter.

End of Report

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