

## BrokerCheck Report

**DAVID JOSEPH MAMMINA**

CRD# 5290574

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 10



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**DAVID J. MAMMINA**

CRD# 5290574

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

**IA GANIM PRIVATE WEALTH**  
 2 ENTERPRISE DRIVE  
 SUITE 305  
 SHELTON, CT 06484  
 CRD# 285679  
 Registered with this firm since: 04/08/2021

**IA KESTRA ADVISORY SERVICES, LLC**  
 414 MAIN STREET  
 SUITE 302  
 PORT JEFFERSON, NY 11777  
 CRD# 283330  
 Registered with this firm since: 04/26/2016

**B KESTRA INVESTMENT SERVICES, LLC**  
 1303 Main Street  
 Port Jefferson, NY 11777  
 CRD# 42046  
 Registered with this firm since: 04/06/2015

**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
- 34 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  
 04/2015 - 09/2016
- B CHARLES SCHWAB & CO., INC.**  
 CRD# 5393  
 HUNTINGTON, NY  
 10/2010 - 02/2014
- IA CHARLES SCHWAB & CO., INC.**  
 CRD# 5393  
 SAN FRANCISCO, CA  
 10/2010 - 02/2014

**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? **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 34 U.S. states and territories through his or her employer.**

### Employment 1 of 3

Firm Name: **GANIM PRIVATE WEALTH**

Main Office Address: **2 ENTERPRISE DRIVE  
SUITE 305  
SHELTON, CT 06484**

Firm CRD#: **285679**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	04/08/2021
IA	New York	Investment Adviser Representative	Approved	04/08/2021

### Branch Office Locations

2 ENTERPRISE DRIVE  
SUITE 305  
SHELTON, CT 06484

### Employment 2 of 3

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	06/07/2021



## Broker Qualifications

### Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	10/16/2023

### Branch Office Locations

414 MAIN STREET  
SUITE 302  
PORT JEFFERSON, NY 11777

### Employment 3 of 3

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	04/06/2015

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/11/2019
B	Arizona	Agent	Approved	07/13/2016
B	California	Agent	Approved	04/12/2016
B	Colorado	Agent	Approved	03/11/2019
B	Connecticut	Agent	Approved	02/20/2019
B	Delaware	Agent	Approved	10/21/2015
B	District of Columbia	Agent	Approved	03/11/2019
B	Florida	Agent	Approved	04/06/2015

## Broker Qualifications



### Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	10/16/2015
B	Idaho	Agent	Approved	06/29/2021
B	Illinois	Agent	Approved	09/03/2015
B	Indiana	Agent	Approved	03/11/2019
B	Louisiana	Agent	Approved	08/19/2025
B	Maine	Agent	Approved	10/14/2025
B	Maryland	Agent	Approved	03/11/2019
B	Massachusetts	Agent	Approved	10/05/2018
B	Michigan	Agent	Approved	03/02/2018
B	Minnesota	Agent	Approved	03/11/2019
B	Nebraska	Agent	Approved	03/11/2019
B	Nevada	Agent	Approved	06/01/2017
B	New Jersey	Agent	Approved	04/06/2015
B	New York	Agent	Approved	04/06/2015
B	North Carolina	Agent	Approved	11/17/2016
B	Ohio	Agent	Approved	03/11/2019
B	Pennsylvania	Agent	Approved	04/06/2015
B	Rhode Island	Agent	Approved	03/11/2019
B	South Carolina	Agent	Approved	03/11/2019
B	Tennessee	Agent	Approved	08/19/2025
B	Texas	Agent	Approved	05/12/2015

Broker Qualifications



Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	03/11/2019
B	Virginia	Agent	Approved	10/28/2015
B	Washington	Agent	Approved	10/16/2015
B	West Virginia	Agent	Approved	09/12/2025
B	Wisconsin	Agent	Approved	08/28/2025

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC  
1303 Main Street  
Port Jefferson, NY 11777

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## 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/08/2007

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/25/2007

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/](http://www.finra.org/brokerqualifications/registeredrep/).





## Broker Qualifications

## Professional Designations

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

### Certified Financial Planner

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
<b>IA</b> 04/2015 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	AUSTIN, TX
<b>B</b> 10/2010 - 02/2014	CHARLES SCHWAB & CO., INC.	5393	HUNTINGTON, NY
<b>IA</b> 10/2010 - 02/2014	CHARLES SCHWAB & CO., INC.	5393	HUNTINGTON, NY
<b>B</b> 07/2008 - 06/2010	WELLS FARGO ADVISORS, LLC	19616	SMITHTOWN, NY
<b>IA</b> 07/2008 - 06/2010	WELLS FARGO ADVISORS, LLC	19616	SMITHTOWN, NY
<b>B</b> 08/2007 - 07/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ISLANDIA, 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
04/2021 - Present	GFS Wealth Management Advisors Inc	Investment Adviser Representative	Y	Shelton, CT, United States
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PORT JEFFERSON, NY, United States
04/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PORT JEFFERSON, NY, United States
03/2015 - Present	COASTLINE WEALTH MANAGEMENT	FINANCIAL ADVISOR	Y	PORT JEFFERSON, NY, United States
04/2016 - 04/2021	KESTRA FINANCIAL SERVICES, INC	REGISTERED REP	Y	Austin, TX, United States
04/2015 - 04/2016	NFP ADVISOR SERVICES, LLC	REGISTERED REP	Y	AUSTIN, TX, United States



## Registration and Employment History

### 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.

BUSI NAME: COASTLINE WEALTH MANAGEMENT POS: Financial Advisor NOB: Registered rep activities through Kestra Investment Services INV REL: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 132 START DATE: 03/23/2015 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESC: Sales

BUSI NAME: Kestra Advisory Services, LLC INV REL: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 NOB of Business: Investment Advisory services through Kestra Advisory Services, LLC POS, 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

BUSI NAME: DMSZ, Inc. INV REL: Yes Address: 12 Meroke Lane Rocky Point NY 11778 NOB of Business: Consulting POS, Title or Relationship: President Start Date: 9/17/2018 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Consulting

BUSI NAME: Rocky Point Jewelers, LLC INV REL: No Address: 29 Rocky Point - Yaphank Rd Rocky Point NY 11778 NOB of Business: Other Other/None of the Above Retail Sales POS, Title or Relationship: Manager Start Date: 8/17/2019 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Manage employees at one location, once per month.

BUSI NAME: 1303 Main, LLC INV REL: No Address: 1303 Main Street Port Jefferson NY 11777 NOB of Business: Real Estate POS, Title or Relationship: Member Start Date: 8/15/2020 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Landlord

BUSI NAME: Coastline Holdings Group, LLC INV REL: Yes Address: 414 Main Street, Suite 302 Port Jefferson NY 11778 NOB of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Investment Advisory services through an independent outside RIA POS, Title or Relationship: Member Start Date: 12/28/2020 Hours per month: 51% - 60% (81 - 96 hours) Hours per month during trading hours: 41% - 50% (57 - 70 hours) Duties: Management, investment advice, and financial planning

BUSI NAME: GFS Wealth Management Advisors, Inc. INV REL: Yes Address: 2 Enterprise Dr Suite 305 Shelton CT 06484 NOB of Business: Investment Advisory services through an independent outside RIA POS, Title or Relationship: Partner and Financial Advisor Start Date: 4/1/2021 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: Manage current client relationships

BUSI NAME: 7 Claw LLC; Member; INV REL: Yes; 1303 Main Street Port Jefferson NY 11777 USA; Real Estate Investment; equal member duties; 2022-05-02; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 5; Percentage of total yearly compensation expected to be derived from the business: 1;

BUSI NAME: SPRINT MY RIDE LLC POS: Member NOB: Limo/Transportation INV REL: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/08/2022 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESC: Bookkeeping

BUSI NAME: BATTALINI & COMPANY, P.C. SUPERCPA POS: Partner NOB: Tax/Accounting/CPA INV REL: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 02/01/2023 ADDRESS: 1049 Lancaster Ave, Berwyn PA 19312 DESC: Chief Financial Officer  
BUSI NAME: COASTLINE WM PARENT LLC POS: Member NOB: Holding Company INV REL: No NUMBER OF HOURS: 0 SECURITIES

## Registration and Employment History



### Other Business Activities, continued

TRADING HOURS: 0 START DATE: 10/07/2024 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESC: All applicable member duties  
BUSI NAME: CWM MERGER SUB LLC POS: Member NOB: Investment advisory services through an independent outside RIA INV REL: Yes  
NUMBER OF HOURS: 88 SECURITIES TRADING HOURS: 63 START DATE: 10/07/2024 ADDRESS: 1303 Main Street, Port Jefferson NY  
11778 DESC: Management, investment advice, and financial planning

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## End of Report



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