

BrokerCheck Report

AMBER CAROLINE ANDREGG

CRD# 5623423

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



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.

**AMBER C. ANDREGG**

CRD# 5623423

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

IA KESTRA PRIVATE WEALTH SERVICES, LLC

5801 Headquarters Dr.
Suite 100
Plano, TX 75024
CRD# 155193

Registered with this firm since: 10/06/2023

B KESTRA INVESTMENT SERVICES, LLC

5801 Headquarters Dr.
Suite 100
Plano, TX 75024
CRD# 42046

Registered with this firm since: 10/06/2023

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
- 11 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):

B GOLDMAN SACHS & CO. LLC

CRD# 361
PLANO, TX
09/2020 - 11/2023

B MERCER ALLIED COMPANY, L.P.

CRD# 37404
PLANO, TX
09/2020 - 11/2023

IA GOLDMAN SACHS PERSONAL FINANCIAL MANAGEMENT

CRD# 134600
IRVING, TX
06/2013 - 11/2023

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 11 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	10/06/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/06/2023
B	Delaware	Agent	Approved	04/14/2025
B	District of Columbia	Agent	Approved	10/08/2024
B	Florida	Agent	Approved	10/30/2023
B	Iowa	Agent	Approved	10/26/2023
B	Missouri	Agent	Approved	10/24/2023
B	New Hampshire	Agent	Approved	10/06/2023
B	North Carolina	Agent	Approved	11/06/2023
B	Ohio	Agent	Approved	05/05/2025
B	Texas	Agent	Approved	10/06/2023
B	Washington	Agent	Approved	10/06/2023



Broker Qualifications

Employment 1 of 2, continued

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC
5801 Headquarters Dr.
Suite 100
Plano, TX 75024

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 Texas	Investment Adviser Representative	Approved	10/06/2023

Branch Office Locations

5707 SOUTHWEST PARKWAY
BLDG. 2 STE 400
AUSTIN, TX 78735

5801 Headquarters Dr.
Suite 100
Plano, TX 75024

Plano, TX



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	11/09/2009

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/10/2010

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
B 09/2020 - 11/2023	GOLDMAN SACHS & CO. LLC	361	PLANO, TX
B 09/2020 - 11/2023	MERCER ALLIED COMPANY, L.P.	37404	PLANO, TX
IA 06/2013 - 11/2023	GOLDMAN SACHS PERSONAL FINANCIAL MANAGEMENT	134600	IRVING, TX
B 11/2017 - 09/2020	CETERA ADVISOR NETWORKS LLC	13572	IRVING, TX
B 06/2013 - 11/2017	GIRARD SECURITIES, INC.	18697	IRVING, TX
B 05/2011 - 05/2012	LPL FINANCIAL LLC	6413	GARLAND, TX
IA 05/2011 - 05/2012	LPL FINANCIAL LLC	6413	GARLAND, TX
B 11/2009 - 06/2011	SECURITIES AMERICA, INC.	10205	GARLAND, 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
10/2023 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Plano, TX, United States
10/2023 - Present	Kestra Private Wealth Services, LLC	Investment Adviser Representative	Y	Plano, TX, United States
08/2012 - 10/2023	UNITED CAPITAL FINANCIAL ADVISERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEWPORT BEACH, CA, United States
11/2017 - 09/2020	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2013 - 11/2017	GIRARD SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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: E&C INVESTMENT LLC POSITION: Owner of LLC NATURE: Pass through LLC for D9 Advisers DBA Symphony Wealth Group
INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/04/2023 ADDRESS: 2900 Masters
Circle, Plano TX 75093 DESCRIPTION: This is a pass through LLC for Symphony Wealth Group

Business Name: SYMPHONY WEALTH GROUP POSITION: Managing Partner, Wealth Adviser NATURE: Insurance INVESTMENT RELATED:
Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 10/07/2023 ADDRESS: 5801 Headquarters Drive, Suite
100, Plano TX 75024 DESCRIPTION: Organizing and leading office team, manage administrative staff, advise clients on financial planning
decisions and investments.

End of Report



This page is intentionally left blank.