BrokerCheck Report

John David Sims

CRD# 6883271

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6

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.
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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.

John D. Sims

CRD# 6883271

This broker is not currently registered.

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 not currently registered.

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 **KESTRA INVESTMENT SERVICES, LLC**
CRD# 42046
Tucson, AZ
01/2020 - 11/2020

B **PARSONEX SECURITIES, INC.**
CRD# 144412
Englewood, CO
03/2018 - 12/2019

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**

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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 broker is not currently registered.

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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	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	03/12/2018

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/27/2018

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2020 - 11/2020	KESTRA INVESTMENT SERVICES, LLC	42046	Tucson, AZ
B 03/2018 - 12/2019	PARSONEX SECURITIES, INC.	144412	Englewood, CO

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
01/2020 - Present	DFG Consultants, LLC	Registered Rep	Y	Tucson, AZ, United States
01/2020 - Present	Kestra Financial, Inc.	Registered Rep	Y	Tucson, AZ, United States
04/2015 - Present	4656 E 7th st, LLC	Manager	N	Tucson, AZ, United States
04/2004 - Present	Rural/Metro Fire Dept	Fire Captain/Paramedic	N	Tucson, AZ, United States
02/2018 - 01/2020	Parsonex Securities, Inc.	Registered Representative	Y	Englewood, CO, 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.

Business Name: Financial Independence Group Investment Related: Yes Address: 19520 W Catawba Ave Suite 200 Cornelius NC 28031 Nature of Business: Insurance Position, Title or Relationship: Agent Start Date: 9/17/2019 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: Meet with clients, discuss Life Insurance needs and desires, market and sell life insurance products.Business Name: DFG Consultants, LLC Investment Related: Yes Address: 1 South Church Ave, Suite 1200 Tucson AZ 85701 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance Position, Title or Relationship: Registered Representative, Advisor Start Date: 1/14/2020 Hours per month: 21% - 30% (33 - 48 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: Meet with prospective and current clients. Provide financial planning and associated products.Business Name: United Healthcare Medicare Solutions Investment Related: No Address: 4811 E Grant Rd, Suite 119 Tucson AZ 85712 Nature of Business: Insurance Position, Title or Relationship: Sales Representitive Start Date: 4/26/2018 Hours per month: 11% - 20% (17 - 32 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: Meet with prospective and current clients. Educate clients regarding Medicare

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Registration and Employment History

Other Business Activities, continued

programs and for UHC medicare products. Sell products and maintain client relationships.Business Name: Heritage Estate Services Investment Related: No Address: P.O. Box 1748 La Mirada CA 90637 Nature of Business: Other Other/None of the Above advise, sell and assist clients in completing a Living Trust Position, Title or Relationship: Sales Agent Start Date: 1/8/2018 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: advise, sell and assist clients in completing a Living Trust. Assist clients organizing their estate and completing appropriate paperwork.Business Name: J Dive Services, LLC Investment Related: No Address: 5755 E 7th st Tucson AZ 85711 Nature of Business: Other Other/None of the Above SCUBA Divemaster services. Lead SCUBA dives, trips, training. Position, Title or Relationship: Manager and only member. Start Date: 8/18/2014 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: SCUBA Divemaster services. Lead SCUBA dives, trips, training. Assist SCUBA instructors. Perform SCUBA related work items

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End of Report

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