



IAPD Report

KATHRYN BODGE BROKAGE

CRD# 4203109

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?



The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

KATHRYN BODGE (CRD# 4203109)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/23/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	01/22/2015
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	09/09/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	BOCA RATON, FL	01/23/2015 - 12/31/2016
IA	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	03/27/2009 - 01/20/2015
B	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	03/20/2009 - 01/20/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Regulator	Registration	Status	Date
FINRA	General Securities Representative	Approved	01/22/2015
Alabama	Agent	Approved	04/13/2021
Alaska	Agent	Approved	04/13/2021
Arizona	Agent	Approved	11/09/2017
Arkansas	Agent	Approved	04/13/2021
California	Agent	Approved	01/29/2015
Colorado	Agent	Approved	01/29/2015
Connecticut	Agent	Approved	03/27/2015
Delaware	Agent	Approved	01/29/2015
District of Columbia	Agent	Approved	11/09/2017
Florida	Agent	Approved	01/22/2015
Georgia	Agent	Approved	01/22/2015
Hawaii	Agent	Approved	04/13/2021



Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**
Main Address: 303 PEACHTREE CENTER AVE
SUITE 140
ATLANTA, GA 30303
Firm ID#: 17499



Regulator	Registration	Status	Date
Idaho	Agent	Approved	04/13/2021
Illinois	Agent	Approved	01/29/2015
Indiana	Agent	Approved	07/14/2017
Iowa	Agent	Approved	01/29/2015
Kansas	Agent	Approved	11/09/2017
Kentucky	Agent	Approved	01/29/2015
Louisiana	Agent	Approved	01/29/2015
Maine	Agent	Approved	11/09/2017
Maryland	Agent	Approved	01/29/2015
Massachusetts	Agent	Approved	02/02/2015
Michigan	Agent	Approved	01/29/2015
Minnesota	Agent	Approved	11/09/2017
Mississippi	Agent	Approved	11/09/2017
Missouri	Agent	Approved	08/03/2016
Montana	Agent	Approved	04/13/2021
Nebraska	Agent	Approved	11/09/2017



Nevada	Agent	Approved	01/29/2015
New Hampshire	Agent	Approved	01/29/2015
New Jersey	Agent	Approved	01/29/2015



Regulator	Registration	Status	Date
New Mexico	Agent	Approved	04/12/2018
New York	Agent	Approved	01/29/2015
North Carolina	Agent	Approved	01/29/2015
North Dakota	Agent	Approved	04/13/2021
Ohio	Agent	Approved	01/29/2015
Oklahoma	Agent	Approved	04/13/2021
Oregon	Agent	Approved	01/29/2015
Pennsylvania	Agent	Approved	01/29/2015
Puerto Rico	Agent	Approved	04/13/2021
Rhode Island	Agent	Approved	04/13/2021
South Carolina	Agent	Approved	01/13/2017
South Dakota	Agent	Approved	04/13/2021
Tennessee	Agent	Approved	07/14/2017
Texas	Agent	Approved	01/29/2015
Utah	Agent	Approved	07/14/2017
Vermont	Agent	Approved	11/09/2017
Virgin Islands	Agent	Approved	04/13/2021



Virginia Agent Approved 01/29/2015

Regulator	Registration	Status	Date
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West Virginia Agent Approved 11/09/2017

Wisconsin Agent Approved 11/09/2017

Wyoming Agent Approved 04/13/2021

Washington Agent Approved 02/01/2018

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.

5350 TOWN CENTER RD

BOCA RATON, FL 33486

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Address: 303 PEACHTREE CENTER AVENUE,
TRUIST GARDEN OFFICES SUITE 140
ATLANTA, GA 30303

Firm ID#: 283390

Regulator	Registration	Status	Date
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Florida Investment Adviser Representative Approved 09/09/2016

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.

5350 TOWN CENTER RD

BOCA RATON, FL 33486



PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/15/2002

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/18/2002

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/23/2015 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BOCA RATON, FL
IA	03/27/2009 - 01/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
B	03/20/2009 - 01/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
IA	08/21/2006 - 03/17/2009	STANFORD GROUP COMPANY	CRD# 39285	BOCA RATON, FL
B	08/18/2006 - 03/17/2009	STANFORD GROUP COMPANY	CRD# 39285	BOCA RATON, FL
IA	07/03/2002 - 08/22/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	BOCA RATON, FL
B	06/28/2002 - 08/22/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	BOCA RATON, FL
IA	03/26/2002 - 06/27/2002	WACHOVIA SECURITIES, INC.	CRD# 431	LAKE WORTH, FL
B	06/15/2002 - 06/25/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	01/16/2002 - 06/15/2002	WACHOVIA SECURITIES, INC.	CRD# 431	CHARLOTTE, NC

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - Present	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
01/2015 - Present	SUNTRUST INVESTMENT SERVICES, INC.	INVESTMENT ASSOCIATE	Y	ATLANTA, GA, United States
03/2009 - 01/2015	OPPENHEIMER & CO. INC.	FA	Y	051-G51, FL, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES



This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

KATHRYN BODGE/SELF

POSITION: Owner/Self **NATURE:** In responseto the Global Pandemic and need to PPE. I have begun making hand sewn PPE masks for those family and friends that are elderly, work in Essential businesses, andhave been donating both the time

andmaterials but I now have too many requests to maintain it as a strictly on donation and volunteer. **INVESTMENT**

RELATED: No **NUMBER OF HOURS:** 30 **SECURITIES TRADING HOURS:** 0 **START DATE:** 04/06/2020

ADDRESS: , Lake Worth FL , United States

DESCRIPTION: Sewing & delivering hand made goods.



End of Report

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