IAPD Report

MCFADDIN MOISE JR

CRD# 1086873

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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.

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

MCFADDIN MOISE JR (CRD# 1086873)

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 **01/17/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/07/2023
IA	GATEWAY WEALTH PARTNERS, LLC	CRD# 322789	12/25/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	CALTON & ASSOCIATES, INC.	20999	Cape Coral, FL	03/01/2017 - 12/26/2023
B	CALTON & ASSOCIATES, INC.	20999	Cape Coral, FL	01/17/2017 - 12/26/2023
IA	PRINCIPAL SECURITIES, INC.	1137	Cape Coral, FL	01/16/2014 - 12/09/2016

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

User Guidance

www.adviserinfo.sec.gov

Qualifications

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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/07/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	12/07/2023
B	Florida	Agent	Approved	12/07/2023
B	Maryland	Agent	Approved	12/07/2023
B	Nevada	Agent	Approved	12/07/2023
B	Tennessee	Agent	Approved	01/03/2024

Branch Office Locations

LPL FINANCIAL LLC
19 DEL PRADO N SUITE 4
CAPE CORAL, FL 33909

Employment 2 of 2

Firm Name: **GATEWAY WEALTH PARTNERS, LLC**

Main Address: 100 W. LAWRENCE STREET
SUITE 304
APPLETON, WI 54911

Firm ID#: 322789

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

GATEWAY WEALTH PARTNERS, LLC
19 Del Prado Blvd. N
Ste. 4
Cape Coral, FL 33909-2758

Qualifications

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/03/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/16/1986
B	Direct Participation Programs Representative Examination (S22)	Series 22	03/12/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/07/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/14/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/09/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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.

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	03/01/2017 - 12/26/2023	CALTON & ASSOCIATES, INC.	CRD# 20999	Cape Coral, FL
B	01/17/2017 - 12/26/2023	CALTON & ASSOCIATES, INC.	CRD# 20999	Cape Coral, FL
IA	01/16/2014 - 12/09/2016	PRINCIPAL SECURITIES, INC.	CRD# 1137	Cape Coral, FL
B	12/13/2013 - 12/09/2016	PRINCIPAL SECURITIES, INC.	CRD# 1137	Cape Coral, FL
IA	12/02/2011 - 12/16/2013	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
B	02/04/2011 - 12/16/2013	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
B	07/07/2009 - 12/31/2010	WORLD CHOICE SECURITIES, INC.	CRD# 30933	FORT MYERS, FL
B	05/30/2008 - 07/13/2009	FIRST ALLIED SECURITIES, INC.	CRD# 32444	FT MYERS, FL
IA	01/08/2007 - 07/08/2009	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	FT MYERS, FL
B	05/11/2006 - 05/30/2008	FFP SECURITIES, INC.	CRD# 16337	FT MYERS, FL
IA	05/12/2006 - 01/01/2007	FFP ADVISORY SERVICES INC	CRD# 110778	FT. MYERS, FL
B	01/09/2002 - 05/16/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
IA	04/03/1987 - 05/16/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NAPLES, FL
B	03/09/1983 - 05/16/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NAPLES, FL
B	03/09/1983 - 12/24/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

Registration & Employment History

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
12/2023 - Present	Gateway Wealth Partners, LLC	Investment Adviser Representative	Y	Cape Coral, FL, United States
12/2023 - Present	LPL Financial LLC	Registered Representative	Y	Cape Coral, FL, United States
03/2013 - Present	Moise Advisory Group Inc.	Financial Representative	Y	FORT MYERS, FL, United States
01/2017 - 12/2023	Calton & Associates, Inc.	Registered Advisor	Y	Cape Coral, FL, United States
12/2013 - 12/2016	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	FORT MYERS, FL, United States
12/2013 - 12/2016	PRINCOR FINANCIAL SERVICES CORPORATION	REG REP	Y	FORT MYERS, FL, United States

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.

1)11/29/2023 - Gateway Financial Partners - DBA for LPL Business (entity for LPL business) - Inv Rel - At Reported Business Location(s) - Start: 11/2023 - 60 Hr/Mth
2)11/29/2023 - Non-Variable Insurance - Inv Rel - Ft.Myers, FL - Start: 01/2019 - 20 Hr/Mth
3)11/29/2023 - Bud krater and Associates Inc - Outside/1099 Employment - Non-Inv Rel - Cape Coral, FL - Start: 01/2018 - 25 Hr/Mth
4)11/29/2023 - McFaddin Moise Jr Licensed Tax Preparer - Tax Prep/Accounting/Business Consulting for taxes - Inv Rel - At Reported Business Location(s) - Start: 01/2019 - 160 Hr/Mth
5)11/29/2023 - Moise Advisory Group Inc - Business Entity For Tax/Investment Purposes Only - Non-Inv Rel - At Reported Business Location(s) - Start: 11/2013 - 10 Hr/Mth
6)11/29/2023 - LPL Financial, LLC - Registered Representative of a Broker Dealer - Inv Rel - At Reported Business Location(s) - Start: 11/2023 - 160 Hr/Mth
7)12/27/2023 - Gateway Wealth Partners LLC - Inv Related - At Reported Business Location(s) - Registered Investment Advisor - IAR - Started: 11/30/2023 - 60 Hrs/Mo; 20 Hrs During Trading - I provide investment advisory services through Gateway Wealth Partners, an independent investment advisor firm. I started this business activity in 11/2023. I expect to spend approximately 60 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - o 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.
  - o A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - o A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	MICHIGAN
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	04/16/2002
Docket/Case Number:	NONE
Employing firm when activity occurred which led to the regulatory action:	AMERICAN EXPRESS FINANCIAL ADVISORS INC./CRD#6363
Product Type:	No Product
Other Product Type(s):	
Allegations:	APPLICANT FAILED TO FILE AN APPLICATION THAT WAS MATERIALLY COMPLETE
Current Status:	Final
Resolution:	Order
Resolution Date:	08/12/2002
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	REGISTRATION DENIED
Regulator Statement	ON 5/30/2002 THE AGENT WAS SENT A CERTIFIED LETTER REQUESTING ADDITIONAL INFORMATION AFTER REVIEW OF THE INITIAL APPLICATION.

	AFTER REPEATED REQUESTS, THIS ADDITIONAL INFORMATION WAS NEVER PROVIDED. THEREFORE, A FINAL ORDER OF DENIAL WAS ISSUED AGAINST THE AGENT, ALLOWING 15 DAYS TO REQUEST A HEARING. NO HEARING WAS REQUESTED AND THE ORDER IS NOW IN EFFECT.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF MICHIGAN DIVISION OF SECURITIES
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	04/09/2002
Docket/Case Number:	CASE# 1086873
Employing firm when activity occurred which led to the regulatory action:	AMERICAN EXPRESS FINANCIAL ADVISORS INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	APPLIED FOR MI SEC. STATE REQUESTED ADDITIONAL INFORMATION ON A TAX LIEN AND I DID NOT PROVIDE THE MATERIALS IN A TIMELY MANNER THEREFORE THE STATE DENIED REGISTRATION AFTER 5 MONTHS OF WAITING FOR MY INFORMATION. TAX LIEN HAS BEEN RELEASED AND INFORMATION IS BEING SENT TO MI ON 10/22 TO CLEAR FILE. I HAVE REQUESTED SECURITIES REG AGAIN.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/27/2002
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	NONE
Sanction Details:	TAX LIEN WAS PAID IN FULL SO STATE ALLOWED AGENT TO RE-FILE FOR SECURITIES.
Broker Statement	HAVE RE-REQUESTED STATE SECURITIES AND FORWARDED A COPY OF RELEASE OF TAX LIEN TO STATE TO CLEAR THE RECORD ON 10/22/02.

End of Report

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