



IAPD Report

KEVIN JOSEPH MOREE

CRD# 1261164

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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

KEVIN JOSEPH MOREE (CRD# 1261164)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	WOODBURY FINANCIAL SERVICES, INC.	421	STUART, FL	02/21/2018 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	STUART, FL	02/15/2018 - 01/19/2024
B	LPL FINANCIAL LLC	6413	VERO BEACH, FL	09/08/2009 - 03/16/2018

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
Termination	1



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/19/2024
B	FINRA	General Securities Representative	Approved	01/19/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/19/2024
B	Alabama	Agent	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
IA	Florida	Investment Adviser Representative	Approved	01/19/2024
B	Georgia	Agent	Approved	01/19/2024
B	Idaho	Agent	Approved	01/19/2024
B	Kentucky	Agent	Approved	01/19/2024
B	Minnesota	Agent	Approved	01/03/2025
B	Nevada	Agent	Approved	01/05/2026
B	North Carolina	Agent	Approved	01/19/2024
B	Texas	Agent	Approved	11/12/2025



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	02/04/2026
B Washington	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
850 NW FEDERAL HWY
SUITE 189
STUART, FL 34994



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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/14/1994

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/17/1986
	Direct Participation Programs Representative Examination (S22)	Series 22	05/22/1984
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/15/1984

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/1984

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	02/21/2018 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	STUART, FL
B	02/15/2018 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	STUART, FL
B	09/08/2009 - 03/16/2018	LPL FINANCIAL LLC	CRD# 6413	VERO BEACH, FL
IA	09/08/2009 - 03/16/2018	LPL FINANCIAL LLC	CRD# 6413	VERO BEACH, FL
IA	10/13/1995 - 09/24/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	ASHEVILLE, NC
B	10/06/1995 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	ASHEVILLE, NC
B	01/06/1992 - 09/29/1995	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	03/31/1989 - 01/02/1992	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	01/29/1986 - 03/31/1989	LOWRY FINANCIAL SERVICES CORPORATION	CRD# 7291	NORTH PALM BEACH, FL
B	05/16/1984 - 11/13/1985	CIGNA SECURITIES, INC.	CRD# 145	

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	STUART, FL, United States
02/2018 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	VERO BEACH, FL, United States
09/2009 - 02/2018	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	VERO BEACH, 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.

1) MOREE WEALTH MANAGEMENT & INVESTMENT SERVICES, INC

POSITION: OWNER NATURE: S-CORP INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING

HOURS: 0 START DATE: 02/01/1996

ADDRESS: 850 NW Federal Hwy, STE 189, STUART FL 34994, United States

DESCRIPTION: Owning and maintaining my S-corp. Filing annual S-Corp tax form 1120S.

2) CORNERSTONE PRIVATE ADVISORS

POSITION: PARTNER NATURE: PARTNERSHIP INVESTMENT RELATED: Yes NUMBER OF HOURS: 176 SECURITIES

TRADING HOURS: 130 START DATE: 04/09/2018

ADDRESS: 2770 INDIAN RIVER BLVD, 304, VERO BEACH FL 32960, United States

DESCRIPTION: MONTHLY CONFERENCE CALLS WITH PARTNERS. OCCASIONAL FACE TO FACE MEETINGS WITH PARTNERS.IAR and Securities Activities

3) MOREE WEALTH MANAGEMENT

POSITION: Agent NATURE: S Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1

START DATE: 02/14/2018

ADDRESS: 850 NW Federal Hwy, STE 189, STUART FL 34994, United States

DESCRIPTION: Life Insurance and Fixed Annuities



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*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - 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*.
 - 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.
 - 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.
 - 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
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Termination	1
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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	02/14/2018
Allegations:	Violation of Firm policy regarding outside business activities and use of another individual's login id and password to view an investment account at an outside broker-dealer.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	LPL FINANCIAL LLC
Termination Type:	Discharged
Termination Date:	02/14/2018
Allegations:	VIOLATION OF FIRM POLICY REGARDING OUTSIDE BUSINESS ACTIVITIES AND USE OF ANOTHER INDIVIDUAL'S LOGIN ID AND PASSWORD TO VIEW AN INVESTMENT ACCOUNT AT AN OUTSIDE BROKER-DEALER.
Product Type:	No Product

Broker Statement
While acting as Board Chair of a local Child Mentoring Charity, which was properly disclosed on my OBA form to LPL Financial, part of my responsibility was oversight of the nonprofit. Therefore, upon receiving access to the charity's account, since this was not a customer account or an investment transaction, I was unaware an update to my OBA was necessary and did not do so in a timely manner.

I do not believe any of the items under 14J(1) apply. In addition, the discharge of



my license is harsh and unwarranted under the circumstances. It is more representative of LPL's disregard of the mitigating facts of the situation in favor of its self-serving corporate purpose.



End of Report

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