



IAPD Report

JEFFREY GLENN MOORMEIER

CRD# 1846287

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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

JEFFREY GLENN MOORMEIER (CRD# 1846287)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	ARBOR POINT ADVISORS	165127	Seattle, WA	11/06/2020 - 11/08/2024
B	SECURITIES AMERICA, INC.	10205	Seattle, WA	11/06/2020 - 06/14/2024
IA	KMS FINANCIAL SERVICES, INC	3866	Seattle, WA	02/09/2011 - 11/06/2020

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
Customer Dispute	2
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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**
Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339
Firm ID#: 171070

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/15/2026
IA Washington	Investment Adviser Representative	Approved	11/08/2024

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
200 West Mercer Street
SUITE 102
SEATTLE, WA 98119

OSAIC ADVISORY SERVICES, LLC
115 N Frances St
#102
Terrell, TX 75160

Employment 2 of 2

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 Representative	Approved	06/14/2024
B Arizona	Agent	Approved	06/14/2024
B California	Agent	Approved	06/14/2024
B Colorado	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	06/14/2024
B Hawaii	Agent	Approved	06/14/2024
B Idaho	Agent	Approved	06/14/2024
B Illinois	Agent	Approved	01/15/2025
B Maryland	Agent	Approved	06/14/2024
B Massachusetts	Agent	Approved	06/14/2024
B Montana	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024
B North Dakota	Agent	Approved	06/14/2024
B Oklahoma	Agent	Approved	06/14/2024
B Oregon	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
B Utah	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
 200 West Mercer Street, Suite 102
 Seattle, WA 98119

OSAIC WEALTH, INC.
 115 N Frances St
 #102
 Terrell, TX 75160



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 0 principal/supervisory exams, 2 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	07/16/1988
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/20/2016
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/21/1997
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/28/1988
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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	11/06/2020 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	Seattle, WA
B	11/06/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Seattle, WA
IA	02/09/2011 - 11/06/2020	KMS FINANCIAL SERVICES, INC	CRD# 3866	Seattle, WA
B	02/09/2011 - 11/06/2020	KMS FINANCIAL SERVICES, INC.	CRD# 3866	Seattle, WA
IA	11/18/2002 - 02/11/2011	QA3 FINANCIAL LLC	CRD# 104957	STANWOOD, WA
B	11/15/2002 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	STANWOOD, WA
IA	05/22/1989 - 11/13/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	EVERETT, WA
B	07/20/1988 - 11/13/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	Mass Transfer	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Seattle, WA, United States
11/2020 - 11/2024	ARBOR POINT ADVISORS	IAR	Y	SEATTLE, WA, United States
11/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	Seattle, WA, United States
02/2011 - 11/2020	KMS FINANCIAL SERVICES, INC	REGISTERED REP	Y	SEATTLE, WA, 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. INSURANCE

POSITION: Advisor / Sales NATURE: Fixed Indexed Annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 2 START DATE: 10/01/2018

ADDRESS: 200 W Mercer St, Suite 102, Seattle WA 98113, United States

DESCRIPTION: I occasionally recommend that my clients invest in Equity Indexed Annuities.

2. SUN VALLEY SNOW SPORTS

POSITION: Ski Instructor NATURE: Ski School Instructor INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 20 START DATE: 12/01/2021 ADDRESS: PO Box 10, Sun Valley ID 83353 DESCRIPTION: I teach adults

and children how to ski.

3. DBA - Emerald City Fiduciary Group

EMERALD CITY FIDUCIARY GROUP

POSITION: Owner / Member NATURE: PLLC, registered with the Secretary of Washington State. INVESTMENT RELATED: Yes

NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 12/15/2021

ADDRESS: 200 W Mercer ST, Suite 102, Seattle WA 98119, United States

DESCRIPTION: Emerald City Fiduciary Group, does securities and Investment Advisory business. This DBA does business with the public and is a separate entity, from OASIC, INC.



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
Customer Dispute	2
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CLAIMANTS, HOLDING ACCOUNTS MANAGED UNDER DISCRETIONARY AUTHORITY BY PERSONS OTHER THAN MR. MOORMEIER, ALLEGE THAT MR. MOORMEIER MADE UNSUITABLE RECOMMENDATIONS AND TRADES ON THIER BEHALF. CLAIMANTS FURTHER ALLEGE UNAUTHORIZED TRADING AND MISREPRESENTATIONS OF MATERIAL FACTS.

Product Type: Equity - OTC

Alleged Damages: \$343,043.00

Customer Complaint Information

Date Complaint Received: 04/15/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/15/2003

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO. 03-02480

Date Notice/Process Served: 04/15/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/15/2004

Monetary Compensation Amount: \$170,000.00

Individual Contribution Amount: \$0.00

Firm Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CLAIMANTS, HOLDING ACCOUNTS MANAGED UNDER DISCRETIONARY AUTHORITY BY PERSONS OTHER THAN MR. MOORMEIER, ALLEGE THAT MR. MOORMEIER MADE UNSUITABLE RECOMMENDATIONS AND TRADES ON THEIR BEHALF. CLAIMANTS FURTHER ALLEGE UNAUTHORIZED TRADING AND MISREPRESENTATIONS OF MATERIAL FACTS.

Product Type: Equity - OTC

Alleged Damages: \$343,043.00

Customer Complaint Information

Date Complaint Received: 04/15/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/15/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO 03-02480

Date Notice/Process Served: 04/15/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/15/2004

Monetary Compensation Amount: \$170,000.00

Individual Contribution Amount: \$0.00



Amount:

Broker Statement MERRILL LYNCH SETTLED THIS FOR BUSINESS REASONS.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENTS ALLEGE THAT THEY WANTED TO INVEST \$50,000.00 IN A LOW-RISK STOCK PORTFOLIO, BUT WERE INSTEAD INVESTED IN HIGH-RISK STOCKS EXCLUSIVELY. THE TRANSACTIONS OCCURRED IN NOVEMBER 2000. NO SPECIFIC COMPENSATORY DAMAGES ALLEGED.

Product Type: Equity - OTC

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/18/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/03/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement MERRILL LYNCH FOUND THE CLIENTS' CLAIMS TO BE WITHOUT MERIT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENTS ALLEGE THAT THEY WANTED TO INVEST \$50,000 IN A LOW RISK STOCK PORTFOLIO BUT WERE INSTEAD INVESTED IN HIGH RISK STOCKS EXCLUSIVELY. THE TRANSACTIONS OCCURRED ON OR AROUND OCTOBER/NOVEMBER 2000. NO SPECIFIC COMPENSATORY DAMAGES ALLEGED.

Product Type: Equity - OTC

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/18/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/03/2004

Settlement Amount:

Individual Contribution Amount:



Broker Statement

MERRILL LYNCH FOUND THE CLIENTS' CLAIM TO BE WITHOUT MERIT.



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:	Individual
Firm Name:	MERRILL LYNCH
Termination Type:	Discharged
Termination Date:	10/15/2002
Allegations:	CLIENT MADE AN ORAL ALLEGATION OF SUITABILITY
Product Type:	Other
Other Product Types:	MANAGED STOCK PORTFOLIOS AND MUTUAL FUNDS
Broker Statement	RETIRED CLIENTS WERE IN NEED OF INCOME AND THE PORTFOLIO WAS DESIGNED TO PROVIDE A 10% RETURN, THROUGH A DIVERSIFIED PORTFOLIO OF COMMON STOCKS. PORTFOLIO WAS SET UP IN MAY 2000, AFTER THE CRASH OF 2000 AND BEAT MARKET LASTING FROM 2000 THROUGH 2002. CLIENTS WERE REFERRED TO MERRILL LYNCH MANAGEMENT BY ME FOR POSSIBLE PROBLEM. MERRILL LYNCH MANAGEMENT TERMINATED ME AS A RESULT OF CONVERSATION WITH CLIENT.



End of Report

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