



## IAPD Report

# Michael Scott Moore

CRD# 2275937

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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

### Michael Scott Moore (CRD# 2275937)

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 **11/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	CRD# 283004	06/06/2025

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	ADVISORY SERVICES NETWORK	146051	Watkinsville, GA	08/09/2017 - 05/21/2025
IA	PRECISION CAPITAL MANAGEMENT	174239	GAINESVILLE, GA	04/29/2015 - 04/04/2018
IA	HORTER INVESTMENT MANAGEMENT, LLC	119880	GAINESVILLE, GA	01/22/2010 - 06/16/2015

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **STEWARD PARTNERS INVESTMENT ADVISORY, LLC**  
Main Address: 400 ATLANTIC STREET  
FLOOR 10, SUITE 1020  
STAMFORD, CT 06901-3512  
Firm ID#: 283004

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	06/06/2025
IA North Carolina	Investment Adviser Representative	Approved	06/17/2025

### Branch Office Locations

**STEWARD PARTNERS INVESTMENT ADVISORY, LLC**  
1551 JENNINGS MILL RD  
SUITE 2600-D  
WATKINSVILLE, GA 30677

**STEWARD PARTNERS INVESTMENT ADVISORY, LLC**  
Hayesville, NC

**STEWARD PARTNERS INVESTMENT ADVISORY, LLC**  
230 MAIN ST SW  
Gainesville, GA 30501

**STEWARD PARTNERS INVESTMENT ADVISORY, LLC**  
410 PEACHTREE PKWY  
BLDG 400, STE 4245  
CUMMING, GA 30041



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	10/28/1992

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	11/03/2014
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/28/1992

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2009
Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/1992

### 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	08/09/2017 - 05/21/2025	ADVISORY SERVICES NETWORK	CRD# 146051	Watkinsville, GA
IA	04/29/2015 - 04/04/2018	PRECISION CAPITAL MANAGEMENT	CRD# 174239	GAINESVILLE, GA
IA	01/22/2010 - 06/16/2015	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	GAINESVILLE, GA
B	12/08/2010 - 11/03/2014	STALWART CAPITAL, LLC	CRD# 149882	GAINESVILLE, GA
B	10/30/1992 - 10/30/2008	PFS INVESTMENTS INC.	CRD# 10111	SNELLVILLE, GA

#### 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
05/2025 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	EMPLOYEE	N	GAINESVILLE, GA, United States
05/2025 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	GAINESVILLE, GA, United States
08/2017 - 05/2025	ADVISORY SERVICES NETWORK, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ATLANTA, GA, United States
04/2009 - 05/2025	MOORE'S WEALTH MANAGEMENT	OWNER/SR. ADVISOR (INSURANCE)	N	GAINESVILLE, GA, United States
04/2015 - 04/2018	PRECISION CAPITAL MANAGEMENT	INVESTMENT ADVISER REPRESENTATIVE	Y	COPPELL, TX, 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) SCOTT MOORE CONSULTING LLC: OWNER/CONSULTANT SINCE 08/2019; CONSULTING FINANCIAL ADVISORS ON



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

HOW TO CREATE, MARKET & OPERATE A SUCCESSFUL PRACTICE INCLUDING THE DISTRIBUTION OF THE AUTHORED BOOK NEXT! TO GUIDE FA'S ON CREATE, MARKET AND OPERATE A SUCCESSFUL PRACTICE; RELEASED 2019. NOT INVESTMENT RELATED; 20 HRS/MONTH, NONE DURING TRADING HOURS.

2) BROAD & MAIN LLC: MANAGING MEMBER SINCE JUNE 2021. LLC FORMED FOR THE PURPOSE OF PURCHASING & OWNING AN OFFICE BUILDING FOR THE BRANCH. NOT INVESTMENT RELATED; 10 HRS/MO DEVOTED TO ACTIVITY; 0 HRS/MO DEVOTED DURING BUSINESS HOURS; CITY/STATE: GAINSVILLE, GA

3) FINANCIAL INDEPENDENCE GROUP; NOT INVESTMENT RELATED; 15HR/MO DEVOTED TO THIS ACTIVITY; 0HRS/MO DURING BUSINESS HOURS; NATURE OF ACTIVITY: MARKETING COACH TO FA'S; DUTIES: COACHING FA'S ON THEIR MARKETING STRATEGIES; CITY/STATE: CORNELIUS, NC; START DATE: 01/01/2019.



## 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
Regulatory Event	1
Customer Dispute	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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF ALABAMA DEPARTMENT OF INSURANCE
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	11/01/2000
<b>Docket/Case Number:</b>	CASE# CE-2000-A064475TR
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PFS INVESTMENTS, INC
<b>Product Type:</b>	Insurance
<b>Allegations:</b>	RENEWAL NOTICE WAS MAILED IN JUL 2000 TO OLD ADDRESS 2ND NOTICE, NOTICE OF INTENT TO SUSPEND WAS MAILED IN SEP 2000 TO SAME ADDRESS
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/02/2005
<b>Sanctions Ordered:</b>	Suspension



**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	INSURANCE AGENT
<b>Duration:</b>	SUSPENDED UNTIL MOORE REALIZED HIS LICENSE WAS IN SUCH A CONDITI
<b>Start Date:</b>	09/19/2000
<b>End Date:</b>	08/08/2005

**Broker Statement**

THE ORIGINAL NOTICE WENT TO THE OLD ADDRESS AFTER POSTAL FORWARDING STOPPED WHEN I REALIZED THAT IT WAS GETTING LATE FOR A RENEWAL NOTICE I CONTRACTED THE STATE I ASKED ABOUT IT THEY SAID THEY WOULD SEND THE NEW NOTICE TO MY GEORGIA ADDRESS, BUT I DIDN'T RECEIVE IT. WHEN I CALLED AGAIN THEY SAIT IT WAS TOO LATE TO RENEW. I DIDN'T REALIZE IT HAD BEGIN FORMALLY SUSPENDED UNTIL 2 WEEKS AGO WHEN I TRIED TO GET RELICENSED NECESSARY PROCEDURES TO BE RELICENSE IN THE STATE OF ALABAMA AS A NON RESIDENT.



## 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Horter Investment Management, LLC
<b>Allegations:</b>	Clients allege that representative misrepresented the features of the product, including that the principal they invested wouldn't be touched, even after client withdrawals.
<b>Product Type:</b>	Annuity-Fixed
<b>Alleged Damages:</b>	\$212,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that the damages are at not less than \$5,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	08/14/2023
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	01/26/2024
<b>Settlement Amount:</b>	\$175,000.00
<b>Individual Contribution Amount:</b>	\$75,000.00
<b>Broker Statement</b>	At the time of sale in 2013, I informed the clients of all the features of the product. In addition, the clients received annual statements every year. This case was settled amicably to avoid the cost of litigation and protect the business interest in the community.



## End of Report

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