



IAPD Report

KASEY LUV DAVIS

CRD# 2353615

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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

KASEY LUV DAVIS (CRD# 2353615)

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 **06/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/25/2025
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	07/25/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
B	CENTAURUS FINANCIAL, INC.	30833	BELTON, TX	06/05/2013 - 07/25/2025
IA	CENTAURUS FINANCIAL, INC.	30833	BELTON, TX	04/26/2013 - 07/25/2025
IA	SIGNAL SECURITIES, INC.	15916	BUDA, TX	01/20/2004 - 12/31/2008

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
Criminal	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 **11** 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
	FINRA	General Securities Principal	Approved	07/25/2025
	FINRA	General Securities Representative	Approved	07/25/2025
	California	Agent	Approved	07/25/2025
	Colorado	Agent	Approved	07/29/2025
	Florida	Agent	Approved	07/25/2025
	Montana	Agent	Approved	07/25/2025
	Nevada	Agent	Approved	07/25/2025
	North Carolina	Agent	Approved	08/04/2025
	Ohio	Agent	Approved	07/25/2025
	South Carolina	Agent	Approved	07/25/2025
	Tennessee	Agent	Approved	06/15/2026
	Texas	Agent	Approved	07/25/2025
	Wisconsin	Agent	Approved	07/25/2025



Qualifications

Branch Office Locations

LPL FINANCIAL LLC
2180 NORTH LOOP W STE 270
HOUSTON, TX 77018-8001

LPL FINANCIAL LLC
BLETON, TX

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**
Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960
Firm ID#: 155216

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	07/25/2025

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
Belton, TX

PRIVATE ADVISOR GROUP, LLC
2180 North Loop West, Ste 270
Houston, TX 77018



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/06/2014

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	06/04/2013
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/29/1997

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/24/2013
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/13/2003



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
B	06/05/2013 - 07/25/2025	CENTAURUS FINANCIAL, INC.	CRD# 30833	BELTON, TX
IA	04/26/2013 - 07/25/2025	CENTAURUS FINANCIAL, INC.	CRD# 30833	BELTON, TX
IA	01/20/2004 - 12/31/2008	SIGNAL SECURITIES, INC.	CRD# 15916	BUDA, TX
B	09/05/2003 - 12/31/2008	SIGNAL SECURITIES, INC.	CRD# 15916	BUDA, TX
B	04/16/2001 - 07/22/2003	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	02/14/1998 - 05/02/2001	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ

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
07/2025 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Belton, TX, United States
07/2025 - Present	Private Advisor Group, LLC	Investment Advisor Representative	Y	Morristown, NJ, United States
04/2009 - Present	THE BENEFIT GROUP, LLC.	PRESIDENT	N	Belton, TX, United States
04/2013 - 07/2025	CENTAURUS FINANCIAL INC.	REGISTERED REP	Y	ANAHEIM, CA, 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.

- 06/2025 - The Benefit Group, LLC - Insurance Agency - Investment Related - Belton, TX 76513 - Start date: 04/01/2009 - 175 Hrs/Mth - 5 Hrs During Trading - Time Spent: 40
- 06/2025 - Oak Point, LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Belton, TX 76513 - Start date: 12/31/2021 - 0 Hrs/Mth - 0 Hrs During Trading - Time Spent: 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. 06/2025 - ILOVETHISHOUSE, LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Belton TX 76513 - Start date: 03/01/2020 - 0 Hrs/Mth - 0 Hrs During Trading - Time Spent: 0

4. 06/2025 - TBG Wealth Management, LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Belton TX 76513 - Start date: 09/01/2014 - 1 Hrs/Mth - 0 Hrs During Trading - Time Spent: 0

5. 06/2025 - Brookwood Advisors - DBA for LPL Business (entity for LPL business) - Investment Related - Belton TX 76513 - Start date: 6/25/2025 - 250 Hrs/Mth - 8 Hrs During Trading - Time Spent: 40

6. 06/2025 - 110 E. 10th Ave - office - Real Estate Rental - Investment Related - Belton TX 76513 - Start date: 06/01/2022 - 5 Hrs/Mth - 0 Hrs During Trading - Time Spent: 2

7. 08/04/2025 - Private Advisor Group - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 06/06/2025 - 0 hours per month/ during trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 06/2025. I expect to spend approximately 0 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*.
 - 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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	HAYS COUNTY DISTRICT ATTORNEY
Location of Court:	SAN MARCOS, TEXAS
Docket/Case #:	67313
Charge Date:	09/23/2002
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT BY CHECK
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOLO CONTENDERE
Disposition of charge:	Deferred Adjudication
Current Status:	Final



Status Date: 12/12/2002

Disposition Date: 12/12/2002

Sentence/Penalty: ON AUGUST 7, 2003 PLACED ON UNSUPERVISED PROBATION AND DISCHARGE AS OF JUNE 12, 2003. PAID \$361.00 IN RESTITUTION AND COURT COSTS.

Broker Statement In September of 2002 I purchased a home in Buda, TX and moved my personal banking relationship to a bank closer to my new home. Unfortunately, I closed the bank account before the check in question had cleared and due to my move was not aware of the issue. The situation was resolved as quickly as possible and dismissed.



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customers allege that the Registered Representative recommended an unsuitable, high-risk, illiquid investment and breached her fiduciary duty. No specific dates for the alleged activity were identified in the Statement of Claim.
Product Type:	Debt-Corporate
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00868
Filing date of arbitration/CFTC reparation or civil litigation:	04/22/2024

Customer Complaint Information

Date Complaint Received:	05/03/2024
Complaint Pending?	No
Status:	Settled
Status Date:	08/14/2024
Settlement Amount:	\$24,200.00
Individual Contribution Amount:	\$0.00

Broker Statement	I vehemently denied any wrongdoing and assert that the customer's allegations were completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.
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End of Report

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