IAPD Report

LARRIE DEAN HOOVER JR.

CRD# 2802218

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

LARRIE DEAN HOOVER JR. (CRD# 2802218)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	CRD# 283004	04/03/2018
B	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	CRD# 1254	05/27/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	CLEARWATER, FL	03/29/2018 - 05/27/2022
B	UBS FINANCIAL SERVICES INC.	8174	CLEARWATER, FL	11/13/2008 - 04/09/2018
IA	UBS FINANCIAL SERVICES INC.	8174	CLEARWATER, FL	11/13/2008 - 04/09/2018

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
Customer Dispute	3

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

Employment 1 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC**

Main Address: 15495 SW SEQUOIA PARKWAY
SUITE 150
PORTLAND, OR 97224

Firm ID#: 1254

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/27/2022
B	FINRA	Municipal Securities Representative	Approved	05/27/2022
B	Alabama	Agent	Approved	07/12/2024
B	Arizona	Agent	Approved	07/24/2024
B	California	Agent	Approved	05/27/2022
B	Colorado	Agent	Approved	07/12/2024
B	Connecticut	Agent	Approved	07/15/2024
B	Delaware	Agent	Approved	05/27/2022
B	Florida	Agent	Approved	05/31/2022
B	Georgia	Agent	Approved	05/27/2022
B	Illinois	Agent	Approved	08/06/2024
B	Kentucky	Agent	Approved	07/19/2024
B	Maryland	Agent	Approved	08/04/2023

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	05/27/2022
B	Michigan	Agent	Approved	11/03/2023
B	Mississippi	Agent	Approved	07/16/2024
B	Missouri	Agent	Approved	05/27/2022
B	New Hampshire	Agent	Approved	05/27/2022
B	New Jersey	Agent	Approved	07/12/2024
B	New York	Agent	Approved	05/27/2022
B	North Carolina	Agent	Approved	12/08/2022
B	Ohio	Agent	Approved	05/27/2022
B	Pennsylvania	Agent	Approved	05/27/2022
B	Rhode Island	Agent	Approved	07/15/2024
B	Tennessee	Agent	Approved	05/27/2022
B	Texas	Agent	Approved	05/27/2022
B	Utah	Agent	Approved	07/06/2022
B	Virginia	Agent	Approved	05/27/2022
B	West Virginia	Agent	Approved	07/15/2024

Branch Office Locations

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
600 CLEVELAND STREET
SUITE 1150
CLEARWATER, FL 33755

Qualifications

Employment 2 of 2

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	Florida	Investment Adviser Representative	Approved	04/03/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	08/08/2019

Branch Office Locations

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
600 Cleveland Street
Suite 1150
Clearwater, FL 33755

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	10/10/2006
B	General Securities Representative Examination (S7)	Series 7	05/30/1997
B	Municipal Securities Representative Examination (S52)	Series 52	02/21/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/02/1996

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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.

User Guidance

www.adviserinfo.sec.gov

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	03/29/2018 - 05/27/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	CLEARWATER, FL
B	11/13/2008 - 04/09/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	CLEARWATER, FL
IA	11/13/2008 - 04/09/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	CLEARWATER, FL
B	04/02/2007 - 11/17/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ST. PETERSBURG, FL
IA	04/02/2007 - 11/17/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ST. PETERSBURG, FL
IA	04/11/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	ST. PETERSBURG, FL
B	04/08/2005 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	ST. PETERSBURG, FL
B	04/16/1999 - 04/27/2005	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	04/16/1999 - 04/27/2005	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	LARGO, FL
B	02/24/1997 - 05/06/1999	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI
B	10/04/1996 - 01/04/1997	FRANKLIN/TEMPLETON DISTRIBUTORS, INC.	CRD# 332	SAN MATEO, CA

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
05/2022 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	REGISTERED REPRESENTATIVE	Y	CLEARWATER, FL, United States
04/2018 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATAIVE	Y	Clearwater, FL, United States
03/2018 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	EMPLOYEE	N	CLEARWATER, FL, United States
03/2018 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	CLEARWATER, FL, United States
11/2008 - 03/2018	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	CLEARWATER, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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) Steward Partners Global Advisory
Address: Clearwater, FL
Nature of the Business: Support Company/DBA (Non-Owner).
Position/Title: Investment Adviser
Investment Related: No
Start Date: 03/29/2018
Hours per month devoted to this business: 0
Hours per month devoted to this business during trading hours: 0
Description of duties: Servicing, Advising, and working with clients to meet their financial goals.

2) Steward Partners Investment Advisory LLC - Clearwater, FL
Nature of the Business: Independent RIA
Position/Title: Investment Adviser
Investment Related:Yes
Start Date: 03/29/2018
Hours per month devoted to this business: 0
Hours per month devoted to this business during trading hours: 0
Description of duties: Provide Advisory Services for Clients

3) Hoover Private Wealth Group.
Address: 600 Cleveland St Ste 1150, Clearwater, FL.
Nature of the Business: Support Company/DBA (Owner).
Position/Title: Support Company/DBA (Owner).
Investment Related:No.
Start Date: 02/21/2019.
Hours per month devoted to this business: 0.
Hours per month devoted to this business during trading hours: 0.
Description of duties: Financial Advisor.

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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CUSTOMER CLAIMS FINANCIAL ADVISOR DID NOT TRANSFER ANNUITY INTO MUTUAL FUNDS AS AGREED IN ABOUT AUGUST 2007.
Product Type:	Other: ANNUITIES
Alleged Damages:	$24,320.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/08/2009
Complaint Pending?	No
Status:	Settled
Status Date:	10/05/2009
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CUSTOMER CLAIMS FINANCIAL ADVISOR DID NOT TRANSFER ANNUITY INTO MUTUAL FUNDS AS AGREED IN ABOUT AUGUST 2007.
Product Type:	Other: ANNUITIES
Alleged Damages:	$24,320.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/08/2009
Complaint Pending?	No
Status:	Settled
Status Date:	10/05/2009
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CLAIMANT ALLEGES FINANCIAL ADVISOR FAILED TO FOLLOW LIQUIDATION INSTRUCTIONS GIVEN ON JANUARY 11, 2008, RESULTING IN LOSSES.
Product Type:	Mutual Fund
Alleged Damages:	$111,262.55

Customer Complaint Information

Date Complaint Received:	02/11/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/11/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	08-04968
Date Notice/Process Served:	02/11/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/17/2010
Monetary Compensation Amount:	$62,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THE FIRM SETTLED THIS MATTER DUE TO AN OPERATIONAL ISSUE WITH THE CUSTOMER'S ACCOUNT AND TO AVOID THE EXPENSE AND BURDEN OF LITIGATION. THE FIRM FOUND NO EVIDENCE OF BROKER MISCONDUCT OR SALES PRACTICE VIOLATIONS BY THE BROKER, MR. HOOVER, NOR WERE SUCH ISSUES CONSIDERED BY THE FIRM IN SETTLING THE CLAIM.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CLAIMANT ALLEGES FINANCIAL ADVISOR FAILED TO FOLLOW LIQUIDATION INSTRUCTIONS GIVEN ON JANUARY 11, 2008, RESULTING IN LOSSES.
Product Type:	Mutual Fund
Alleged Damages:	$111,262.55

Customer Complaint Information

Date Complaint Received:	02/11/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/11/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	08-04968
Date Notice/Process Served:	02/11/2009
Arbitration Pending?	No
Disposition:	Settled

Disposition Date: 02/17/2010

Monetary Compensation Amount: $62,000.00

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: **UNAUTHORIZED TRADING** CLIENT ALLEGES THAT BROKER MADE UNAUTHORIZED TRADES IN CLIENT'S ACCOUNT. CLIENT ALLEGES THAT AFTER SEVERAL OF THESE TRADES WERE MADE, CLIENT CLOSED THE ACCOUNT AND WAS THEN CHARGED FOR A YEAR'S WORTH OF FEES. CLIENT ALLEGES FEES AND LOSSES TOTALED APPROXIMATELY $20,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $20,000.00

Customer Complaint Information

Date Complaint Received: 07/02/2004

Complaint Pending? No

Status: Settled

Status Date: 10/18/2004

Settlement Amount: $7,500.00

Individual Contribution Amount: $0.00

Broker Statement CLIENT'S COMPLAINT THAT UNAUTHORIZED TRADING OCCURRED IS COMPLETELY FALSE. NEARLY EVERY TRADE WAS EXECUTED ON AN UNSOLICITED BASIS AND AT THE CLIENT'S DIRECTION. JUST WEEKS BEFORE CLIENT TRANSFERRED OUT, THE THEN RESIDENT BRANCH MANAGER CALLED HER AS PART OF HIS ACCOUNT REVIEW DUTIES AND CLIENT NEVER INDICATED ANY DISSATISFACTION. CLIENT'S COMPLAINT OF NON-DISCLOSURE OF FEES IS COMPLETELY INACCURATE. THE CONTRACT SIGNED BY THE CLIENT DETAILED THE FEE STRUCTURE OF THE AMBASSADOR ACCOUNT, INCLUDING THE TERMS IF THE CLIENT TERMINATED THE AGREEMENT WITHIN THE FIRST 12 MONTHS OF INCEPTION.

End of Report

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