# IAPD Report

## Keeley Michael Moore

CRD# 2954454

# 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

## Keeley Michael Moore (CRD# 2954454)

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 **10/23/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | CETERA WEALTH SERVICES, LLC | CRD# 13572 | 02/20/2025 |
| IA | CETERA INVESTMENT ADVISERS LLC | CRD# 105644 | 02/20/2025 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 | CONCOURSE FINANCIAL GROUP ADVISORS | 15708 | Vestavia, AL | 05/04/2012 - 02/20/2025 |
| B | CONCOURSE FINANCIAL GROUP SECURITIES, INC. | 15708 | Vestavia, AL | 04/17/2012 - 02/20/2025 |
| IA | ALLSTATE FINANCIAL ADVISORS, LLC | 109524 | BIRMINGHAM, AL | 07/22/2011 - 04/13/2012 |

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 |
| Termination | 2 |

 

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

### Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Alabama | Investment Adviser Representative | Approved | 02/20/2025 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 04/01/2025 |

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**
100 OLD TOWN ROAD
SUITE 200
VESTAVIA, AL 35216

### Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 02/20/2025 |
| B | Alabama | Agent | Approved | 02/20/2025 |
| B | Florida | Agent | Approved | 02/20/2025 |
| B | Georgia | Agent | Approved | 02/20/2025 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Maryland | Agent | Approved | 02/20/2025 |
| B | Texas | Agent | Approved | 02/20/2025 |

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**
100 Old Town Road
Suite 200
Vestavia, AL  35216

# 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 2 state securities law exams.**

### 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 | General Securities Representative Examination (S7) | Series 7 | 11/19/1997 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/16/1997 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 12/03/1997 |

## 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 | 05/04/2012 - 02/20/2025 | CONCOURSE FINANCIAL GROUP ADVISORS | CRD# 15708 | Vestavia, AL |
| B | 04/17/2012 - 02/20/2025 | CONCOURSE FINANCIAL GROUP SECURITIES, INC. | CRD# 15708 | Vestavia, AL |
| IA | 07/22/2011 - 04/13/2012 | ALLSTATE FINANCIAL ADVISORS, LLC | CRD# 109524 | BIRMINGHAM, AL |
| B | 08/15/2001 - 03/27/2012 | ALLSTATE FINANCIAL SERVICES, LLC | CRD# 18272 | BIRMINGHAM, AL |
| B | 01/02/2001 - 07/23/2001 | MULTI-FINANCIAL SECURITIES CORPORATION | CRD# 10299 | GREENWOOD VILLAGE |
| B | 01/06/1998 - 01/05/2001 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | 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 |
|---|---|---|---|---|
| 02/2025 - Present | CETERA INVESTMENT ADVISERS LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | SCHAUMBURG, IL, United States |
| 02/2025 - Present | CETERA WEALTH SERVICES, LLC | REGISTERED REPRESENTATIVE | Y | Vestavia, AL, United States |
| 12/2012 - Present | (dba) All Choice Insurance Grp (Moore Insurance & Financial Svc) | President/Owner | Y | Vestavia, AL, United States |
| 04/2012 - 02/2025 | Concourse Financial Group Securities Inc | Financial Professional | Y | Vestavia, AL, 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) (dba) ALL CHOICE INSURANCE GROUP (MOORE INSURANCE & FINANCIAL SERVICES); Investment Related; 100 Old Towne Rd, Suite 200, Vestavia AL 35216; Insurance and Investments; President/Owner; Start Date 12/2012; 100 hours per month with 5 of those hours occurring during trading hours; I offer life, universal, and whole life insurance as well as property and

## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

casualty products. I also provide mutual funds, ETFs, annuities, and wrap fee accounts to clients. >>

2) PROVIDENCE INVESTMENTS; Non-Investment Related; 29 Olmstead Street, Birmingham, AL 35242; Rental Property; Owner; Start Date 11/2011; No hours per month; Apartment complex of which I am one of the partners

3) NAME OF OTHER BUSINESS: KDM CABINS LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: RENTAL PROPERTY;
START DATE: 11/2025;
POSITION/TITLE/RELATIONSHIP: CO-OWNER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: MAINTAIN A MOUNTAIN HOUSE FOR WEEKLY RENTALS USING A RENTAL COMPANY;

# 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 |
| Termination | 2 |

### 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

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | ALABAMA DEPT. OF INSURANCE |
| **Sanction(s) Sought:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Date Initiated:** | 05/22/2007 |
| **Docket/Case Number:** | NOT APPLICABLE |
| **Employing firm when activity occurred which led to the regulatory action:** | ALLSTATE FINANCIAL SERVICES, LLC |
| **Product Type:** | No Product |
| **Allegations:** | ALABAMA DEPT OF INSURANCE ALLEDGED THAT RR FAILED TO NOTIFY THEIR AGENCY OF AN ADDRESS CHANGE WITHIN 30 DAYS OF THE CHANGE. |
| **Current Status:** | Final |
| **Resolution:** | PAID LATE FEE PENALTY/FINE |
| **Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** | No |
| **Resolution Date:** | 06/05/2007 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s) |

**Monetary Sanction 1 of 1**

| | |
|---|---|
| **Monetary Related Sanction:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Total Amount:** | $50.00 |
| **Portion Levied against individual:** | $50.00 |
| **Payment Plan:** | ONE TIME PAYMENT |
| **Is Payment Plan Current:** | Yes |
| **Date Paid by individual:** | 06/05/2007 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |

## 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 2

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Firm Name:** | ALLSTATE FINANCIAL SERVICES, LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 03/27/2012 |
| **Allegations:** | TERMINATED BY ALLSTATE FINANCIAL SERVICES, AN AFFILIATE OF ALLSTATE FINANCAL ADVISORS, FOR DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY THE FIRM. |
| **Product Type:** | Annuity-Variable<br>Mutual Fund |
| **Firm Statement** | AT THE REQUEST OF MR. MOORE, THIS AMENDMENT IS BEING FILED TO INCLUDE MR. MOORE'S COMMENTS TO THE TERMINATION DRP. MR. MOORE STATES "[ONE SECTION 401(K) PLAN] WAS CHANGED BY THE PLAN TRUSTEE AND THE PLAN SPONSOR TO ACCOMMODATE THE SPECIAL REQUEST OF HAVING AN OUTSIDE TPA. THIS REVISION WAS DONE WITHOUT MY KNOWLEDGE OF THE PLAN BEING A GROUP ANNUITY PLAN OUTSIDE OF AFS SELLING AGREEMENTS. AFTER DISCOVERED AND REQUESTED BY THE FIRM, I SUBMITTED DOCUMENTS TO THE FIRM SHOWING THAT I PLANNED TO RUN THE PLAN THROUGH THE FIRM." |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Firm Name:** | ALLSTATE FINANCIAL ADVISORS, LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 03/27/2012 |
| **Allegations:** | TERMINATED BY ALLSTATE FINANCIAL SERVICES, AN AFFISIATE OF ALLSTATE FINANCIAL ADVISORS, FOR DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY FIRM |
| **Product Type:** | Annuity-Variable<br>Mutual Fund |
| **Broker Statement** | THE BUSINESS WAS A GROUP 401K PLAN THAT WAS ORIGINALLY SET UP WITH A FIRM WE HAD A SELLING AGREEMENT WITH. THE GROUPS PLAN HAD TO BE CHANGED TO ALLOW FOR AN OUTSIDE TPA TO ADMINISTER THE PLAN. THIS CAUSED THE PLAN TO CHANGE TO A GROUP ANNUITY WHICH MY FIRM DID NOT HAVE A SELLING AGREEMENT WITH. ALL PLAN DOCUMENTS WERE SUBMITTED TO THE BROKER-DEALER. |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Firm |

| | |
|---|---|
| **Firm Name:** | ALLSTATE FINANCIAL SERVICES, LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 03/27/2012 |
| **Allegations:** | DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY THE FIRM. |
| **Product Type:** | Annuity-Variable<br>Mutual Fund |
| **Firm Statement** | AT THE REQUEST OF MR. MOORE, THIS AMENDMENT IS BEING FILED TO INCLUDE MR. MOORE'S COMMENTS TO THE TERMINATION DRP.<br><br>MR. MOORE STATES "[ONE SECTION 401(K) PLAN] WAS CHANGED BY THE PLAN TRUSTEE AND THE PLAN SPONSOR TO ACCOMMODATE THE SPECIAL REQUEST OF HAVING AN OUTSIDE TPA. THIS REVISION WAS DONE WITHOUT MY KNOWLEDGE OF THE PLAN BEING A GROUP ANNUITY PLAN OUTSIDE OF AFS SELLING AGREEMENTS. AFTER DISCOVERED AND REQUESTED BY THE FIRM, I SUBMITTED DOCUMENTS TO THE FIRM SHOWING THAT I PLANNED TO RUN THE PLAN THROUGH THE FIRM." |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Firm Name:** | ALLSTATE FINANCIAL SERVICES, LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 03/27/2012 |
| **Allegations:** | FIRM STATED THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND FAILED TO PROVIDE SUITABILITY DOCUMENTATION |
| **Product Type:** | Annuity-Variable<br>Mutual Fund |
| **Broker Statement** | THE BUSINESS WAS A GROUP 401K PLAN THAT WAS ORIGINALLY SET UP WITH A FIRM WE HAD A SELLING AGREEMENT WITH. THE GROUPS PLAN HAD TO BE CHANGED TO ALLOW FOR AN OUTSIDE TPA TO ADMISTER THE PLAN. THIS CAUSED THE PLAN TO CHANGE TO A GROUP ANNUITY WHICH MY FIRM DID NOT HAVE A SELLING AGREEMENT WITH. ALL PLAN DOCUMENTS WERE SUBMITTED TO THE BROKER-DEALER. |

# End of Report

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