



## IAPD Report

### Nora Kay Strait

CRD# 5614535

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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

### **Nora Kay Strait (CRD# 5614535)**

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 **09/18/2025**.

### **CURRENT EMPLOYERS**

	Firm	CRD#	Registered Since
IA	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	CRD# 116407	06/12/2024
B	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	06/17/2024

### **QUALIFICATIONS**

This representative is currently registered in **1** SRO(s) and **1** 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	LPL FINANCIAL LLC	6413	MIDLAND, MI	06/03/2024 - 06/30/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Midland, MI	04/13/2023 - 06/03/2024
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	MIDLAND, MI	04/13/2023 - 06/03/2024

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? **No**



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

#### Employment 1 of 2

Firm Name: **WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**  
Main Address: 505 N HIGHWAY 169  
SUITE 900  
PLYMOUTH, MN 55441  
Firm ID#: 130139

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	06/17/2024
 Michigan	Agent	Approved	06/30/2025

#### Branch Office Locations

2401 EASTLAWN DR  
MIDLAND, MI 48642

#### Employment 2 of 2

Firm Name: **WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**  
Main Address: 505 N HIGHWAY 169  
SUITE 900  
PLYMOUTH, MN 55441  
Firm ID#: 116407

Regulator	Registration	Status	Date
 Michigan	Investment Adviser Representative	Approved	06/12/2024

#### Branch Office Locations

**WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**

2401 EASTLAWN DR  
MIDLAND, MI 48642



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	02/18/2020
B Securities Industry Essentials Examination (SIE)	SIE	10/28/2019

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/30/2020

### 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
B	06/03/2024 - 06/30/2025	LPL FINANCIAL LLC	CRD# 6413	MIDLAND, MI
IA	04/13/2023 - 06/03/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Midland, MI
B	04/13/2023 - 06/03/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	MIDLAND, MI
B	01/07/2022 - 03/31/2023	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	EAST LANSING, MI
IA	01/07/2022 - 03/31/2023	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	EAST LANSING, MI
IA	01/19/2021 - 09/20/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Midland, MI
B	02/18/2020 - 09/20/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	MIDLAND, MI

### 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
06/2024 - Present	WEALTH ENHANCEMENT ADVISORY SERVICES	REGISTERED ADMIN	Y	MIDLAND, MI, United States
06/2024 - Present	WEALTH ENHANCEMENT BROKERAGE SERVICES	REGISTERED ADMIN	Y	MIDLAND, MI, United States
06/2024 - Present	WEALTH ENHANCEMENT GROUP	SR CLIENT SERVICE MANAGER	Y	MIDLAND, MI, United States
06/2024 - 06/2025	LPL Financial LLC	Registered Representative	Y	Midland, MI, United States
04/2023 - 06/2024	GAVIN FINANCIAL GROUP	Associate/Employee	N	Midland, MI, United States
04/2023 - 06/2024	Gavin & Associates	Associate/Employee	N	Midland, MI, United States
04/2023 - 06/2024	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Midland, MI, United States
04/2023 - 06/2024	Raymond James Financial Services, Inc.	Registered Representative	Y	Midland, MI, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2022 - 04/2023	BANK OF AMERICA, N.A.	Wealth Management Specialist	Y	East Lansing, MI, United States
09/2021 - 04/2023	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	Wealth Management Specialist	Y	East Lansing, MI, United States
01/2021 - 09/2021	Raymond James Financial Services Advisors, Inc./Gavin & Associates	Registered Rep.	Y	Midland, MI, United States
10/2016 - 09/2021	Raymond James Financial Services, Inc./Gavin & Associates	Pending Financial Advisor	Y	Midland, MI, United States
11/2008 - 10/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	Sr. Operations Rep.	Y	Saginaw, MI, 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.

WEALTH ENHANCEMENT ADVISORY SERVICES LLC - Inv Related - At Reported Business Location(s) - Registered Investment Advisor - Registered Admin - Started: 6/1/2024 - 160 Hrs/Mo; 8 Hrs During Trading - I provide administrative support to WEALTH ENHANCEMENT ADVISORY SERVICES LLC, an independent investment advisor firm. I started this business activity 6/2024. I expect to spend approximately 160 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>.



## **End of Report**

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