



IAPD Report

KERRIE LYNN MORRIS

CRD# 5839188

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 7
Disclosure Information	8



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

KERRIE LYNN MORRIS (CRD# 5839188)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	07/23/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	07/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	CETERA INVESTMENT ADVISERS LLC	105644	CANONSBURG, PA	08/10/2020 - 07/24/2024
B	CETERA INVESTMENT SERVICES LLC	15340	CANONSBURG, PA	06/21/2019 - 07/24/2024
B	FORESTERS FINANCIAL SERVICES, INC.	305	CANONSBURG, PA	10/01/2010 - 06/24/2019

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/23/2024
B FINRA	Invest. Co and Variable Contracts	Approved	07/23/2024
B FINRA	Investment Co./Variable Contracts Prin	Approved	07/23/2024
B Maryland	Agent	Approved	07/23/2024
B Ohio	Agent	Approved	07/23/2024
B Pennsylvania	Agent	Approved	07/23/2024
IA Pennsylvania	Investment Adviser Representative	Approved	07/23/2024
B South Carolina	Agent	Approved	07/23/2024
B Texas	Agent	Approved	07/23/2024
IA Texas	Investment Adviser Representative	Restricted Approval	07/23/2024
B West Virginia	Agent	Approved	07/23/2024

Branch Office Locations

OSAIC WEALTH, INC.



Qualifications

2400 Ansys Drive
Suite 102
Canonsburg, PA 15317




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/14/2014

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	05/31/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/30/2010

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/08/2020
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/19/2010

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	08/10/2020 - 07/24/2024	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	CANONSBURG, PA
B	06/21/2019 - 07/24/2024	CETERA INVESTMENT SERVICES LLC	CRD# 15340	CANONSBURG, PA
B	10/01/2010 - 06/24/2019	FORESTERS FINANCIAL SERVICES, INC.	CRD# 305	CANONSBURG, PA

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
07/2024 - Present	OSAIC	Registered Representative	Y	Canonsburg, PA, United States
06/2018 - Present	Moke's Martial Arts	Instructor	N	Charleroi, PA, United States
08/2020 - 07/2024	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CANONSBURG, PA, United States
06/2019 - 07/2024	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
12/2017 - 07/2024	Transitions Health Care	Admissions/Marketing	N	Washington, PA, United States
04/2015 - 06/2019	Foresters Financial Services	REGISTERED REPRESENTATIVE	Y	CANONSBURG, PA, United States
07/2017 - 10/2017	BCAC Academy TKD	Instructor	N	Bentleyville, PA, United States
02/2003 - 04/2017	BCAC ACADEMY TKD	INSTRUCTOR	N	BENTLYVILLE, PA, 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) DEN LEADER FOR CUB SCOUT PACK 1542 IN FINLEYVILLE, 2/HRS/MO
- 2) LIGHT OF CHRIST FULL GOSPEL CHURCH, TREASURER, CHECKBOOK REQUIRES DUAL SIGNERS, 5HRS/WK
- 3) TAE KWON DO INSTRUCTOR AND MOKES MARTIAL ARTS; 8 HRS/WK



Registration & Employment History



OTHER BUSINESS ACTIVITIES

4) FINLEYVILLE BOY SCOUTS TROOP 1542

POS: Committee chair NATURE: this is a branch of the Boy scouts of America -ages 6-11 usually referred to as Cub Scouts

INVEST RELATED: No NO. OF HRS.: 4 SEC. TRADING HRS.: 0 DATE: 09/01/23

ADDR: 3595 Washington Ave, Finleyville PA 15332

DESCR: I assist the Cub Master in keeping track of the forms for those attending camp, becoming new cubs and planning meetings for the boys.

5) LIGHT OF CHRIST FULL GOSPEL CHURCH

POS: Secretary NATURE: Church INVEST RELATED: No NO. OF HRS.: 4 SEC. TRADING HRS.: 0 DATE: 07/23/24

ADDR: 106 Gibson Ave, Washington PA 15330

DESCR: I have been asked to function as secretary. I will take notes during the board meetings and type them up passing them along to Pastor.

6) MOKE'S MARTIAL ARTS

POS: Senior Instructor NATURE: Martial Arts School focused on Tae Kwon Do INVEST RELATED: No NO. OF HRS.: 25 SEC.

TRADING HRS.: 0 DATE: 03/01/18

ADDR: 301 Fallowfield avenue, Charleroi PA 15022

DESCR: My primary duty is the lead instructor for the 3-5-year-old class. I assist during the other classes of the evening. I am part of the panel for testing students, assist parents with any questions they may have regarding classes or upcoming tournaments, assist other instructors with any class needs.

7) TRIPOINT WEALTH ADVISORS

POS: Insurance Agent NATURE: The business is an LLC INVEST RELATED: Yes NO. OF HRS.: 10 SEC. TRADING HRS.: 10

DATE: 07/23/24

ADDR: 2400 Ansys Dr., Canonsburg PA 15317

DESCR: I meet with clients and assist them in finding the best insurance coverage to meet their needs.

8. RINGGOLD WRESTLING BOOSTERS

POS: Concession Stand Organizer NATURE: The Boosters help organize fund raisers for the wrestling team. I have been asked

to oversee the concession stand during home matches and tournaments held at high school. INVEST RELATED: No NO. OF

HRS.: 15 SEC. TRADING HRS.: 0 DATE: 10/30/24

ADDR: 1 Ram Dr., Monongahela PA 15063

DESCR: I open the concession stand before the junior varsity matches. I make sure that the items we have for sale are out, pizzas are ordered, nachos and cheese are out and that the drinks have been added to the cooler. I encourage parents to help and sign up for times in 30-minute increments.

9. LIGHT OF CHRIST FULL GOSPEL CHURCH

POS: Secretary/treasurer NATURE: Church INVEST RELATED: No NO. OF HRS.: 4 SEC. TRADING HRS.: 0 DATE: 07/23/24

ADDR: 106 Gibson Ave, Washington PA 15330

DESCR: I have been asked to function as secretary. I will take notes during the board meetings and type them up passing them along to Pastor.

as treasurer I assist in counting the tithes and offerings after church. There are always two of us present when counting. I seal the envelope with the tithes and offerings in the presence of the elder helping and then deposit them in the drop box at the bank. I have the ability to sign checks however two signatures are required to do this.

10. TRIPOINT WEALTH ADVISORS

POS: financial advisor NATURE: The business is an LLC INVEST RELATED: Yes NO. OF HRS.: 160 SEC. TRADING HRS.: 160

DATE: 07/23/24

ADDR: 2400 Ansys Dr., Canonsburg PA 15317

DESCR: I am a financial advisor working through Tripointe Wealth who helps clients with Invests in the areas of individual



Registration & Employment History



OTHER BUSINESS ACTIVITIES

accounts, retirement, college funding and other such financial matters.

11.KERRIE MORRIS INSURANCE PRODUCER

POS: Insurance producer NATURE: Sole Proprietor INVEST RELATED: Yes NO. OF HRS.: 20 SEC. TRADING HRS.: 20 DATE: 10/01/10

ADDR: 2400 Ansys Dr., Canonsburg PA 15317

DESCR: sales and service of fixed insurance and annuities



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	1

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:	Foresters Financial Services, Inc ("FFS")
Allegations:	Among other things, the client alleged that she was not informed of certain charges and penalties associated with her variable life insurance purchase. The activity dates are 4/23/15-4/18/16.
Product Type:	Insurance
Alleged Damages:	\$200,000.00
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:	04/18/2016
Complaint Pending?	No
Status:	Denied
Status Date:	05/11/2016
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Broker Statement

After investigating the allegations set forth in the client's complaint, FFS denied the complaint in its entirety.



End of Report

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