



IAPD Report

Bruce Roy Moore

CRD# 6962841

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

Bruce Roy Moore (CRD# 6962841)

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 **09/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SECURE INVESTMENT MANAGEMENT, LLC	CRD# 141195	05/26/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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
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No information reported.

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
Criminal	1
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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SECURE INVESTMENT MANAGEMENT, LLC**
Main Address: 3067 W. INA ROAD
#125
TUCSON, AZ 85741
Firm ID#: 141195

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Restricted Approval	07/30/2026
IA	New Mexico	Investment Adviser Representative	Approved	06/17/2026
IA	New York	Investment Adviser Representative	Approved	05/26/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2026

Branch Office Locations

SECURE INVESTMENT MANAGEMENT, LLC
LONG BEACH, NY



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	B	Uniform Combined State Law Examination (S66)	Series 66	03/13/2020
IA		Uniform Investment Adviser Law Examination (S65)	Series 65	04/17/2018



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](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

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
04/2026 - Present	SECURE INVESTMENT MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TUCSON, AZ, United States
01/2023 - Present	SECURE INCOME MANAGEMENT LLC	Insurance Agent	N	TUCSON, AZ, United States
12/2025 - 04/2026	Encompass More Asset Management LLC	Investment Adviser Representative	Y	Danville, CA, United States
01/2015 - 04/2026	Premier Advisor Resources	Owner/Advisor	Y	Tucson, AZ, United States
05/2018 - 12/2021	CATALINA WEALTH MANAGEMENT	INSURANCE AGENT	Y	TUCSON, AZ, United States
05/2018 - 12/2021	Centaurus Financial Inc.	INSURANCE AGENT	Y	ANAHEIM, CA, United States
01/2016 - 05/2018	GRADIENT FINANCIAL GROUP	INSURANCE AGENT	Y	ARDEN HILLS, MN, 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.

SECURE INCOME MANAGEMENT; JOINED 2023; FIXED ANNUITY SALES; 40HOURS PER WEEK; EARNS COMMISSIONS



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
Criminal	1
Customer Dispute	3

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:	Regulator
Regulatory Action Initiated By:	Arizona Corporation Commission - Securities Division
Sanction(s) Sought:	Denial
Date Initiated:	04/06/2026
Docket/Case Number:	S-21394A-26-0080
URL for Regulatory Action:	https://docket.images.azcc.gov/0000217278.pdf?i=1788973685203

Employing firm when activity occurred which led to the regulatory action:

Product Type:	No Product
Allegations:	Pursuant to A.R.S. § 44-3201, that Respondents application as an investment adviser representative be DENIED.
Current Status:	Final
Resolution:	Decision
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: 08/27/2026

Sanctions Ordered: Denial



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
Formal Charges were brought in:	State Court
Name of Court:	Magistrate Court, Eleventh Judicial District Court
Location of Court:	San Juan County, New Mexico
Docket/Case #:	M-47-FR-2021-00879
Charge Date:	12/20/2021
Charge(s) 1 of 4	
Formal Charge(s)/Description:	Count 1: Fraud Exceeding \$20,000 - On or about or between 1st day of February 2017 and the 7th day of July, 2017 in San Juan, County, New Mexico, defendant misrepresented a fact intending to deceive or cheat Client 1. Client 1 relied on promise or misrepresentation, defendant obtained over twenty thousand dollars (\$20,000). Count 5: Fraud Exceeding \$20,000 - On or about or between 24th day of April 2017 and the 21st day of August, 2017 in San Juan, County, New Mexico, defendant misrepresented a fact intending to deceive or cheat Client 2. Client 2 relied on promise or misrepresentation, defendant obtained over twenty thousand dollars (\$20,000).
No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Charge(s) 2 of 4	
Formal Charge(s)/Description:	Count 4: Sale of an unregistered Security: Defendant did sell and or/offer to sell Client 1 a security not registered pursuant to the New Mexico Uniform Securities Act. Count 8: Sale of an unregistered Security: Defendant did sell and or/offer to sell Client 1 a security not registered pursuant to the New Mexico Uniform Securities Act.
No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Charge(s) 3 of 4	



Formal Charge(s)/Description: Count 3: Sale of a Security by an Unlicensed Agent: Defendant offered to sell and/or sold a security to Client 1 issued by issuer without first being registered as an agent of a broker dealer pursuant to the New Mexico Uniform Securities Act. Count 7: Sale of a Security by an Unlicensed Agent: Defendant offered to sell and/or sold a security to Client 2 issued by issuer without first being registered as an agent of a broker dealer pursuant to the New Mexico Uniform Securities Act.

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Dismissed

Charge(s) 4 of 4

Formal Charge(s)/Description: Count 2: Securities Fraud: On or about February 1 and July 7, 2017 in San Juan, County, New Mexico, defendant did sell and/or offer to sell a security and/or securities to Client 1, and in connection with the sale and/or offer to sell the security and/or securities, the defendant purposely and directly or indirectly made an untrue statement of fact that under the circumstances would have been important or significant to the investment decision of a reasonable person and/or omitted a fact necessary to make an investment decision. Count 6: Securities Fraud: On or about April 24, 2017 and August 21, 2017 in San Juan, County, New Mexico, defendant did sell and/or offer to sell a security and/or securities to Client 2 and in connection with the sale and/or offer to sell the security and/or securities, the defendant purposely and directly or indirectly made an untrue statement of fact that under the circumstances would have been important or significant to the investment decision of a reason

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Dismissed

Current Status: Final

Status Date: 11/26/2025

Disposition Date: 11/26/2025

Sentence/Penalty: Counts 5-8 dismissed on 12/19/2023.
Count 1 dismissed on 09/30/2024.

Counts 2-4 was dismissed with prejudice on 11/26/2025, Defendant agreed to maintain the terms of the agreement in the civil matter. No penalties fees or other remuneration was ordered.

Broker Statement I invested my own money into a Private Placement Investment though Woodbridge Financial. Woodbridge lead me to believe I could receive a referral fee in New Mexico if the client chose to invest. I did not make any recommendations about the product, whether the client should invest or if the investment was suitable for them. Furthermore, I disclosed the conflict of interest to the client that if they chose to invest, I would receive a referral fee from Woodbridge. I referred four of my insurance clients to Woodbridge after they asked me why I invested in Woodbridge and received a referral fee for each investor upon the close of their investment into Woodbridge. The clients received their application directly from Woodbridge and returned it directly to them along with their investment. After the value in the investment was frozen, three of the four clients filed complaints against me and we settled not admitting or denying fault. One of these clients allowed me to enter into a payment plan to pay the amount awarded. That client was later approached by



the State of NM post settlement and the client told them that I was involved in the whole process. New Mexico opened an investigation leading to the criminal charges outlined above. After all the facts and circumstances were brought to light, all charges were ultimately dismissed with prejudice. I agreed that regardless of the outcome of the criminal investigation, I would continue my payment plan to the client.



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:	Individual
Employing firm when activities occurred which led to the complaint:	Gradient Financial
Allegations:	In 2018 [REDACTED] heard about an investment that I invested my own money into and decided to invest himself with the investment. He blamed me and sued me. I settled because my lawyer advise me to.
Product Type:	Promissory Note
Alleged Damages:	\$180,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	San Juan County New Mexico District Court
Docket/Case #:	Case No. D-1116-CV-2018-01391
Date Notice/Process Served:	11/02/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/15/2021
Monetary Compensation Amount:	\$180,000.00
Individual Contribution Amount:	\$180,000.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Gradient Financial
Allegations:	In 2018 [REDACTED] heard about an investment that I invested my own money into and decided to invest himself with the investment. He blamed me and sued me. I settled because my lawyer advise me to.
Product Type:	Promissory Note
Alleged Damages:	\$30,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): San Juan County New Mexico District Court

Docket/Case #: Case No. D-1116-CV-2018-01391

Date Notice/Process Served: 11/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/15/2021

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$30,000.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Gradient Financial

Allegations: In 2018 [REDACTED] heard about an investment that I invested my own money into and decided to invest himself with the investment. He blamed me and sued me. I settled because my lawyer advise me to.

Product Type: Promissory Note

Alleged Damages: \$30,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): San Juan County New Mexico District Court

Docket/Case #: Case No. D-1116-CV-2018-01391

Date Notice/Process Served: 11/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/15/2021

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$30,000.00



End of Report

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