



IAPD Report

KELLY CHRISTOPHER FOY

CRD# 7968714

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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

KELLY CHRISTOPHER FOY (CRD# 7968714)

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 **03/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/04/2025
IA	OSAIC WEALTH, INC.	CRD# 23131	04/03/2025

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
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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
Criminal	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 1 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	03/04/2025
B	South Carolina	Agent	Approved	04/03/2025
IA	South Carolina	Investment Adviser Representative	Approved	04/03/2025

Branch Office Locations

OSAIC WEALTH, INC.
234 BROAD ST
SUMTER, SC 29150



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	03/03/2025
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Securities Industry Essentials Examination (SIE)	SIE	02/07/2025
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/28/2025
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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:

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
02/2025 - Present	OSAIC	Registered Representative	Y	Sumter, SC, United States
09/2024 - Present	Daniel Wealth Management	Executive Assistant	N	Sumter, SC, United States
04/2022 - 09/2024	Unemployed	Unemployed	N	Nashville, IN, United States
09/2021 - 04/2022	Chocolate Moose	General Manager	N	Nashville, IN, United States
09/2019 - 09/2021	Unemployed / COVID	Moved during this period (height of COVID) from Saint Paul, MN to Nashville, IN ~11/2020	N	Nashville, IN, United States
05/2019 - 09/2019	Unemployed / Foot Rehab	Had Foot Surgery and Spent time rehabbing this summer	N	Saint Paul, MN, United States
02/2019 - 04/2019	Vail Resorts / Afton Alps	Ski Lift Operator	N	Afton, MN, United States
01/2019 - 02/2019	Mighty Earth	Internship Coalition Coordinator	N	Minneapolis, MN, United States
09/2014 - 12/2018	Hamline University	Full-Time Education/Summers Off	N	Saint Paul, MN, United States
05/2018 - 09/2018	Unemployed / Shoulder Rehab	Had shoulder reconstruction and was rehabbing this summer	N	Saint Paul, MN, United States
06/2017 - 09/2017	Hamline University	Research Assistant for Research Grant	N	Saint Paul, MN, United States
05/2016 - 09/2016	Unemployed / Knee Rehab	Was rehabbing from a knee surgery	N	Saint Paul, MN, United States



Registration & Employment History



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.

DANIEL WEALTH MANAGEMENT

POSITION: Planning Coordinator NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 11/21/2025

ADDRESS: 234 Broad St, Sumter SC 29150, United States

DESCRIPTION: I have an insurance license, but do not utilize it past needing an Insurance license to discuss insurance us cases in Financial Planning for Daniel Wealth Management.



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
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Criminal	1
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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:	Pinal County Superior Court
Location of Court:	Florence, AZ
Docket/Case #:	CR201300011
Charge Date:	01/01/2013
Charge(s) 1 of 5	
Formal Charge(s)/Description:	Aggravated Assault on a Health Care Practitioner (Class 6 Undesignated Felony) & Non-Dangerous and Non-Repetitive
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty - Waiver of Preliminary Hearing (Plea Agreement)
Disposition of charge:	Deferred Adjudication
Date of Amended Charge:	04/16/2014
Charge was Amended or reduced to:	Reduced to Class 1 Misdemeanor
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Amended
Charge(s) 2 of 5	



Formal Charge(s)/Description:	Escape in the 1st Degree (Class 4 Felony)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Brought Against Me
Disposition of charge:	Dismissed
Charge(s) 3 of 5	
Formal Charge(s)/Description:	Extreme DUI (Class 1 Misdemeanor)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty - Waiver of Preliminary Hearing (Plea Agreement)
Disposition of charge:	Convicted
Charge(s) 4 of 5	
Formal Charge(s)/Description:	Criminal Damage (Class 2 Misdemeanor)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Not Brought Against Me
Disposition of charge:	Dismissed
Charge(s) 5 of 5	
Formal Charge(s)/Description:	DUI (Class 1 Misdemeanor)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Not Brought Against Me
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	04/22/2014
Disposition Date:	03/05/2013
Sentence/Penalty:	<p>I promptly fulfilled ALL requirements for these convictions and had my Supervised Probation reduced from 3 Years to 13 Months (early termination) due to excellent behavior and prompt fulfillment of requirements.</p> <p>Jail: 14 Days Total 01/01/2013 - 01/06/2013 & 03/05/2013 - 03/14/2013</p> <p>Supervised Probation: 3 years (Early Termination @ 13 months) 03/05/2013 - 04/22/2014</p> <p>Monetary Penalty: \$1975.00 in Fines and Fees. Fully Paid: 09/16/2013</p> <p>Suspension of Driving Privileges: 90 Days starting 03/05/2013</p>
Broker Statement	I was celebrating New Year's Eve while visiting Arizona. I was pulled over early in



the morning 01/01/2013 for driving under the influence. The officer found it in my best interest to have me taken to a hospital by ambulance. Upon waking in the hospital, I was disoriented and forgot that I was under police detainment and attempted to exit the exam room. Upon my attempt of leaving the exam room, I threw the exam room clipboard which hit the nurse who was doing their duty, and attempting to provide me with healthcare. I am grateful that I did not injure anyone, as I did not intend to. It was, under law, deemed automatically as "Aggravated Assault" as it was a Health Care Professional that was involved.

Upon making my way into the hospital hallway, I was met with two police officers who kindly introduced me to the floor, and back into the exam room. This is the escape charge which was dismissed.

To be forthcoming, I went years without opening myself up about this, much to my own detriment. But I have been at the point where I accept my responsibility in this and have, ironically, learned more about myself and about what it means to be a "good person" in this world through my personal struggles with it. This arrest and conviction don't define me, but what I do with myself in these years after is what will define me. This was over 10 years ago and I've changed and grown a lot, but this will always feel like it happened yesterday. Although shameful and embarrassing, I've learned to accept it as a turning-point in my life for the better.

Thank you for taking the time to read this. I hope you have a great day.



End of Report

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