User Guidance

www.adviserinfo.sec.gov

IAPD Report

JOE P. MOORE JR

CRD# 873580

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

JOE P. MOORE JR (CRD# 873580)

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 **04/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/15/2025
IA	LPL FINANCIAL LLC	CRD# 6413	09/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	OSAIC WEALTH, INC.	23131	Orange, CA	11/03/2023 - 09/17/2025
IA	OSAIC WEALTH, INC.	23131	Orange, CA	11/03/2023 - 09/17/2025
B	FSC SECURITIES CORPORATION	7461	Orange, CA	04/26/2021 - 11/03/2023

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	2
Termination	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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	09/15/2025
B	FINRA	General Securities Representative	Approved	09/15/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	09/15/2025
B	Arizona	Agent	Approved	09/15/2025
B	California	Agent	Approved	09/15/2025
IA	California	Investment Adviser Representative	Approved	09/15/2025
B	Colorado	Agent	Approved	09/15/2025
B	District of Columbia	Agent	Approved	09/15/2025
B	Florida	Agent	Approved	09/15/2025
B	Idaho	Agent	Approved	09/15/2025
B	Indiana	Agent	Approved	09/15/2025
B	Kentucky	Agent	Approved	09/15/2025
B	Michigan	Agent	Approved	04/20/2026

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	09/15/2025
B	Mississippi	Agent	Approved	09/15/2025
B	Montana	Agent	Approved	09/17/2025
B	New York	Agent	Approved	12/09/2025
B	Ohio	Agent	Approved	10/08/2025
B	Oregon	Agent	Approved	05/28/2026
B	Tennessee	Agent	Approved	09/16/2025
B	Texas	Agent	Approved	09/19/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/24/2025
B	Utah	Agent	Approved	09/15/2025
B	Virginia	Agent	Approved	09/15/2025
B	Washington	Agent	Approved	09/15/2025

Branch Office Locations

LPL FINANCIAL LLC
625 THE CITY DR S STE 460
ORANGE, CA 92868

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 2 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	01/10/2005
B	General Securities Principal Examination (S24)	Series 24	08/21/1990

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/01/1998
B	Corporate Securities Limited Representative Examination (S62)	Series 62	08/21/1992
B	Registered Representative Examination (S1)	Series 1	10/29/1979

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/01/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/03/2023 - 09/17/2025	OSAIC WEALTH, INC.	CRD# 23131	Orange, CA
IA	11/03/2023 - 09/17/2025	OSAIC WEALTH, INC.	CRD# 23131	Orange, CA
B	04/26/2021 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	Orange, CA
IA	04/26/2021 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	Orange, CA
IA	08/04/2016 - 04/27/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	Orange, CA
B	08/03/2016 - 04/27/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	Orange, CA
IA	11/19/2014 - 06/10/2016	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ORANGE, CA
B	11/18/2014 - 06/10/2016	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ORANGE, CA
IA	11/15/2012 - 11/19/2014	CAPITAL GUARDIAN WEALTH MANAGEMENT, LLC	CRD# 131631	ORANGE, CA
B	11/14/2012 - 11/19/2014	CAPITAL GUARDIAN, LLC	CRD# 137919	ORANGE, CA
IA	07/01/2009 - 11/20/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	ORANGE, CA
B	06/30/2009 - 11/20/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	ORANGE, CA
B	07/12/2005 - 06/22/2009	EQUITY SERVICES, INC.	CRD# 265	BEVERLY HILLS, CA
IA	07/12/2005 - 06/22/2009	ESI FINANCIAL ADVISORS	CRD# 265	BEVERLY HILLS, CA
B	06/01/2005 - 07/01/2005	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
IA	06/01/2005 - 07/01/2005	AXA ADVISORS, LLC	CRD# 6627	LOS ANGELES, CA
IA	10/15/1999 - 06/01/2005	MONY SECURITIES CORPORATION	CRD# 4386	ORANGE, CA
B	02/19/1998 - 06/01/2005	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY

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	10/31/1995 - 09/30/1997	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	04/05/1995 - 03/25/1996	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	06/18/1993 - 12/15/1994	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	11/08/1979 - 05/06/1993	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, 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
09/2025 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
02/1979 - Present	STRATEGIC ALLIANCE FINANCIAL ADVISORS INC.	PRESIDENT	Y	ORANGE, CA, United States
11/2023 - 09/2025	OSAIC WEALTH, INC.	Registered Rep	Y	Orange, CA, United States
04/2021 - 11/2023	FSC	REG REP	Y	Orange, CA, United States
07/2016 - 04/2021	Voya Financial Advisors, Inc.	Reg Rep	Y	Orange, CA, 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. 08/2025 - (401K ADMINISTRATION) - Business Owner - Not Investment Related - 12 Hrs/Mth - 1 Hrs During Trading - Orange California 92868 - OBA Start Date: 07/01/2009
2. 08/2025 - DESTINO STREET - Real Estate Rental - Investment Related - 0 Hrs/Mth - 0 Hrs During Trading - Hacienda Heights, Ca 91745 - OBA Start Date: 07/01/2019
3. 08/2025 - STRATEGIC ALLIANCE FINANCIAL ADVISORS INC - DBA for LPL Business (entity for LPL business) - Investment Related - 160 Hrs/Mth - 8 Hrs During Trading - At Reported Business Location(s) - OBA Start Date: 09/15/2025

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	2
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Capital Guardian LLC
Allegations:	Customers allege poor customer service, non-disclosure of fees and suitability
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	No compensatory damage indicated
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:	08/31/2016
Complaint Pending?	No
Status:	Denied

Status Date:	09/15/2016
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Capital Guardian LLC
Allegations:	Customers allege poor customer service, non-disclosure of fees and suitability.
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	No compensatory damage indicated
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:	08/31/2016
Complaint Pending?	No
Status:	Denied
Status Date:	09/15/2016
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The client's claim that additional commissions were charged or earned on the variable annuity and alternative investments was inaccurate. The investments commissions and expenses and fees were disclosed to and acknowledged by the client. The client received an amount greater than their investment when they surrendered their contract and investments, and therefore their investment did not go down in value.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MONY SECURITIES CORPORATION
Allegations:	CLIENTS ALLEGE THAT DISCLOSURE WAS NOT MADE BY RR CONCERNING FEES/PENALTIES WHEN MOVING ACCOUNTS. CLIENTS QUESTIONS PENALTY WHEN CLASS B RESERVES WERE SOLD. CLIENTS ALLEGE THAT

	VARIABLE ANNUITY CONTRACTS PURCHASED WERE NOT SUITABLE.
Product Type:	Annuity-Fixed
Alleged Damages:	$60,112.00
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:	10/30/2002
Complaint Pending?	No
Status:	Settled
Status Date:	07/28/2003
Settlement Amount:	$29,926.64
Individual Contribution Amount:	$0.00
Broker Statement	TO AVOID LENTHY LEGAL TIME AND FEES, THE COMPANY AGREED TO SETTLE THIS CASE. I WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT AND, WITH DOCUMENTED EVIDENCE, DID NOT AGREE TO THE SETTLEMENT AS I DENY ALL CHARGES OF WRONGDOING. I REQUESTED TO BE RECUSED FROM THIS SETTLEMENT.

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 1

Reporting Source:	Firm
Firm Name:	CETERA ADVISOR NETWORKS LLC
Termination Type:	Discharged
Termination Date:	05/31/2016
Allegations:	Representative violated the following Firm policies: Holding a security in violation of the securities received and delivered policy; Failure to obtain Firm approval on representative-generated reports; Use of unapproved email and texting on securities business; violation of the Firm's encryption and data security policies; Failure to report a customer complaint; approving a VA switch transaction without complete documentation.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock) Insurance

Reporting Source:	Individual
Firm Name:	Cetera Network Advisors
Termination Type:	Discharged
Termination Date:	05/30/2016
Allegations:	Holding a security in violation of the securities received and delivered policy, failure to obtain Firm approval on representative generated reports, use of unapproved email and texting regarding securities business, violation of Firm's encryption and data securities policies, failure to report a customer complaint, approving a variable annuity switch transaction without complete documentation.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock) Insurance Mutual Fund
Broker Statement	After 37 years of working compliantly with seven broker dealers, Cetera Network Advisors supervised my business practices for eighteen months and never informed me of any alleged violations. Without communicating with me in any manner, I was suspended and terminated. Cetera Network Advisors has not accepted any responsibility for failure to supervise or to notify me of their concerns during those eighteen months.

End of Report

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