BrokerCheck Report

Janine Jefferson Moore

CRD# 1971879

Section Title	Page(s)

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Janine J. Moore

CRD# 1971879

Currently employed by and registered with the following Firm(s):

IA **GLOBAL RETIREMENT PARTNERS LLC**
9731 Wortham Blvd. Suite 105
Houston, TX 77065
CRD# 172011
Registered with this firm since: 01/04/2021

B **HUB INTERNATIONAL INVESTMENT SERVICES INC.**
900 S CAPITAL OF TX HIGHWAY
SUITE 350
AUSTIN, TX 78746
CRD# 150252
Registered with this firm since: 04/05/2019

B **LPL FINANCIAL LLC**
9731 WORTHAM BLVD, SUITE 105
HOUSTON, TX 77065
CRD# 6413
Registered with this firm since: 02/22/2013

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 10 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
02/2013 - 05/2022

IA **HUB INTERNATIONAL INVESTMENT ADVISORY SERVICES INC.**
CRD# 290090
CONCORD, CA
04/2019 - 03/2022

IA **MML INVESTORS SERVICES, LLC**
CRD# 10409
SPRINGFIELD, MA
07/2004 - 03/2013

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **GLOBAL RETIREMENT PARTNERS LLC**

Main Office Address: **4340 REDWOOD HIGHWAY**
SUITE B-60
SAN RAFAEL, CA 94903

Firm CRD#: **172011**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	01/05/2021
IA	Illinois	Investment Adviser Representative	Approved	01/07/2021
IA	Ohio	Investment Adviser Representative	Approved	01/04/2021
IA	Texas	Investment Adviser Representative	Approved	01/04/2021

Branch Office Locations

4340 REDWOOD HIGHWAY
SUITE B-60
SAN RAFAEL, CA 94903

9731 Wortham Blvd. Suite 105
Houston, TX 77065

Employment 2 of 3

Firm Name: **HUB INTERNATIONAL INVESTMENT SERVICES INC.**

Main Office Address: **900 S CAPITAL OF TX HIGHWAY**
SUITE 350
AUSTIN, TX 78746

Broker Qualifications

Employment 2 of 3, continued

Firm CRD#: **150252**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/05/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	04/05/2019
B	FINRA	Investment Co./Variable Contracts Prin	Approved	04/05/2019

Branch Office Locations

HUB INTERNATIONAL INVESTMENT SERVICES INC.
900 S CAPITAL OF TX HIGHWAY
SUITE 350
AUSTIN, TX 78746

Employment 3 of 3

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/22/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	02/22/2013
B	FINRA	Investment Co./Variable Contracts Prin	Approved	02/22/2013

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/12/2013
B	Arkansas	Agent	Approved	09/17/2024
B	California	Agent	Approved	03/12/2013
B	Colorado	Agent	Approved	02/04/2016

Broker Qualifications

Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	10/06/2015
B	Ohio	Agent	Approved	03/12/2013
B	Pennsylvania	Agent	Approved	02/04/2016
B	South Dakota	Agent	Approved	01/08/2021
B	Texas	Agent	Approved	02/22/2013

Branch Office Locations

LPL FINANCIAL LLC
9731 WORTHAM BLVD, SUITE 105
HOUSTON, TX 77065

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	01/02/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/11/2002
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/14/1989

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	07/21/2004
B	Uniform Securities Agent State Law Examination	Series 63	09/18/1992

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	02/2013 - 05/2022	LPL FINANCIAL LLC	6413	HOUSTON, TX
IA	04/2019 - 03/2022	HUB INTERNATIONAL INVESTMENT ADVISORY SERVICES INC.	290090	Houston, TX
IA	07/2004 - 03/2013	MML INVESTORS SERVICES, LLC	10409	HOUSTON, TX
B	04/1999 - 03/2013	MML INVESTORS SERVICES, LLC	10409	HOUSTON, TX
IA	11/2006 - 03/2007	PORTFOLIO ADVISORY COUNCIL,L.L.C.	107465	HOUSTON, TX
B	07/1992 - 04/1999	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH
B	08/1989 - 12/1992	NATIONWIDE ADVISORY SERVICES, INC.	11173	COLUMBUS, OH

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2021 - Present	Global Retirement Partners, LLC	Investment Adviser Representative	Y	Houston, TX, United States
03/2019 - Present	HUB International Investment Services, Inc.	Senior Vice President / Registered Representative	Y	Houston, TX, United States
02/2013 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, United States
03/2019 - 03/2022	HUB International Investment Advisory Services, Inc.	SVP / Investment Adviser Representative	Y	Houston, TX, United States
01/2003 - 03/2019	PEAK FINANCIAL GROUP, LLC	PRINCIPAL	N	HOUSTON, TX, United States

Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 02/22/2013 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Time Spent 5% - Life/Health Insurance --includes whole life, term, fixed annuities, DI, LTC, Group Insurance.
2. 3/27/2019 - HUB International - Investment Related - At Reported Business Location(s) - Outside/W-2 Employment - Senior Vice President, Retirement Practice Leader - Started 03/01/2019 - 140 Hours Per Month During Securities Trading.
3. 5/7/2020 - HUB International Investment Services, Inc.- Investment Related - At Reported Business Location(s) - Other-Accommodation Broker/Dealer - Started 03/02/2020 - 0 Hours Per Month - Only registered with this entity to receive payments from compensation paid to this entity from LPL.
4. 12/31/2020 - HUB International - DBA: HUB Retirement and Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/01/2021 - 160 Hours Per Month During Securities Trading.
5. 1/4/2021 - Global Retirement Partners, LLC - DBA: (Hybrid) HUB Retirement and Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 01/01/2021 - 160 Hours Per Month During Securities Trading.
6. 1/4/2021 - Global Retirement Partners, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Investment Advisor Representative - Started 01/01/2021 - 160 Hours Per Month During Securities Trading - I provide investment advisory services through Global Retirement Partners, an independent investment advisor firm. I started this business activity in 01/2021. 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. The firm is separate from and independent of LPL Financial.

End of Report

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