

BrokerCheck Report

Keeley Michael Moore

CRD# 2954454

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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.

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.

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.

**Keeley M. Moore**

CRD# 2954454

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

IA CETERA INVESTMENT ADVISERS LLC
 100 OLD TOWN ROAD
 SUITE 200
 VESTAVIA, AL 35216
 CRD# 105644
 Registered with this firm since: 02/20/2025

B CETERA WEALTH SERVICES, LLC
 100 Old Town Road
 Suite 200
 Vestavia, AL 35216
 CRD# 13572
 Registered with this firm since: 02/20/2025

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
- 5 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

IA CONCOURSE FINANCIAL GROUP ADVISORS
 CRD# 15708
 BIRMINGHAM, AL
 05/2012 - 02/2025

B CONCOURSE FINANCIAL GROUP SECURITIES, INC.
 CRD# 15708
 Vestavia, AL
 04/2012 - 02/2025

IA ALLSTATE FINANCIAL ADVISORS, LLC
 CRD# 109524
 LINCOLN, NE
 07/2011 - 04/2012

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Termination	2



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 5 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Office Address: **1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096**

Firm CRD#: **105644**

	U.S. State/ Territory	Category	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	02/20/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	04/01/2025

Branch Office Locations

100 OLD TOWN ROAD
SUITE 200
VESTAVIA, AL 35216

Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Office Address: **2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245**

Firm CRD#: **13572**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/20/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/20/2025
B	Florida	Agent	Approved	02/20/2025
B	Georgia	Agent	Approved	02/20/2025
B	Maryland	Agent	Approved	02/20/2025
B	Texas	Agent	Approved	02/20/2025

Branch Office Locations

CETERA WEALTH SERVICES, LLC
100 Old Town Road
Suite 200
Vestavia, AL 35216



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/19/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/16/1997
B Uniform Securities Agent State Law Examination	Series 63	12/03/1997

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 05/2012 - 02/2025	CONCOURSE FINANCIAL GROUP ADVISORS	15708	Vestavia, AL
B 04/2012 - 02/2025	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	15708	Vestavia, AL
IA 07/2011 - 04/2012	ALLSTATE FINANCIAL ADVISORS, LLC	109524	BIRMINGHAM, AL
B 08/2001 - 03/2012	ALLSTATE FINANCIAL SERVICES, LLC	18272	BIRMINGHAM, AL
B 01/2001 - 07/2001	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO
B 01/1998 - 01/2001	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

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
02/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Vestavia, AL, United States
12/2012 - Present	(dba) All Choice Insurance Grp (Moore Insurance & Financial Svc)	President/Owner	Y	Vestavia, AL, United States
04/2012 - 02/2025	Concourse Financial Group Securities Inc	Financial Professional	Y	Vestavia, AL, 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) (dba) ALL CHOICE INSURANCE GROUP (MOORE INSURANCE & FINANCIAL SERVICES); Investment Related; 100 Old Towne Rd, Suite 200, Vestavia AL 35216; Insurance and Investments; President/Owner; Start Date 12/2012; 100 hours per month with 5 of those hours occurring during trading hours; I offer life, universal, and whole life insurance as well as property and casualty products. I also provide mutual funds, ETFs, annuities, and wrap fee accounts to clients. >>

2) PROVIDENCE INVESTMENTS; Non-Investment Related; 29 Olmstead Street, Birmingham, AL 35242; Rental Property; Owner; Start Date 11/2011; No hours per month; Apartment complex of which I am one of the partners

3) NAME OF OTHER BUSINESS: KDM CABINS LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: RENTAL PROPERTY;
START DATE: 11/2025;
POSITION/TITLE/RELATIONSHIP: CO-OWNER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: MAINTAIN A MOUNTAIN HOUSE FOR WEEKLY RENTALS USING A RENTAL COMPANY;

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Termination	N/A	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Broker
Regulatory Action Initiated By:	ALABAMA DEPT. OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/22/2007
Docket/Case Number:	NOT APPLICABLE
Employing firm when activity occurred which led to the regulatory action:	ALLSTATE FINANCIAL SERVICES, LLC
Product Type:	No Product
Allegations:	ALABAMA DEPT OF INSURANCE ALLEDGED THAT RR FAILED TO NOTIFY THEIR AGENCY OF AN ADDRESS CHANGE WITHIN 30 DAYS OF THE CHANGE.
Current Status:	Final
Resolution:	PAID LATE FEE PENALTY/FINE



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:	06/05/2007
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$50.00
Portion Levied against individual:	\$50.00
Payment Plan:	ONE TIME PAYMENT
Is Payment Plan Current:	Yes
Date Paid by individual:	06/05/2007
Was any portion of penalty waived?	No
Amount Waived:	



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Employer Name: ALLSTATE FINANCIAL SERVICES, LLC

Termination Type: Discharged

Termination Date: 03/27/2012

Allegations: TERMINATED BY ALLSTATE FINANCIAL SERVICES, AN AFFILIATE OF ALLSTATE FINANCIAL ADVISORS, FOR DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY THE FIRM.

Product Type: Annuity-Variable
Mutual Fund

Firm Statement AT THE REQUEST OF MR. MOORE, THIS AMENDMENT IS BEING FILED TO INCLUDE MR. MOORE'S COMMENTS TO THE TERMINATION DRP. MR. MOORE STATES "[ONE SECTION 401(K) PLAN] WAS CHANGED BY THE PLAN TRUSTEE AND THE PLAN SPONSOR TO ACCOMMODATE THE SPECIAL REQUEST OF HAVING AN OUTSIDE TPA. THIS REVISION WAS DONE WITHOUT MY KNOWLEDGE OF THE PLAN BEING A GROUP ANNUITY PLAN OUTSIDE OF AFS SELLING AGREEMENTS. AFTER DISCOVERED AND REQUESTED BY THE FIRM, I SUBMITTED DOCUMENTS TO THE FIRM SHOWING THAT I PLANNED TO RUN THE PLAN THROUGH THE FIRM."

Reporting Source: Broker

Employer Name: ALLSTATE FINANCIAL ADVISORS, LLC

Termination Type: Discharged

Termination Date: 03/27/2012

Allegations: TERMINATED BY ALLSTATE FINANCIAL SERVICES, AN AFFISIATE OF ALLSTATE FINANCIAL ADVISORS, FOR DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY FIRM

Product Type: Annuity-Variable



Mutual Fund

Broker Statement

THE BUSINESS WAS A GROUP 401K PLAN THAT WAS ORIGINALLY SET UP WITH A FIRM WE HAD A SELLING AGREEMENT WITH. THE GROUPS PLAN HAD TO BE CHANGED TO ALLOW FOR AN OUTSIDE TPA TO ADMINISTER THE PLAN. THIS CAUSED THE PLAN TO CHANGE TO A GROUP ANNUITY WHICH MY FIRM DID NOT HAVE A SELLING AGREEMENT WITH. ALL PLAN DOCUMENTS WERE SUBMITTED TO THE BROKER-DEALER.

Disclosure 2 of 2

Reporting Source:

Firm

Employer Name:

ALLSTATE FINANCIAL SERVICES, LLC

Termination Type:

Discharged

Termination Date:

03/27/2012

Allegations:

DISCHARGE AFTER FINDINGS THAT REPRESENTATIVE IMPROPERLY SUBMITTED SECURITIES BUSINESS BY BYPASSING THE FIRM AND ALSO FAILED TO PROVIDE SUITABILITY DOCUMENTATION AS REQUESTED BY THE FIRM.

Product Type:

Annuity-Variable
Mutual Fund

Firm Statement

AT THE REQUEST OF MR. MOORE, THIS AMENDMENT IS BEING FILED TO INCLUDE MR. MOORE'S COMMENTS TO THE TERMINATION DRP.

MR. MOORE STATES "[ONE SECTION 401(K) PLAN] WAS CHANGED BY THE PLAN TRUSTEE AND THE PLAN SPONSOR TO ACCOMMODATE THE SPECIAL REQUEST OF HAVING AN OUTSIDE TPA. THIS REVISION WAS DONE WITHOUT MY KNOWLEDGE OF THE PLAN BEING A GROUP ANNUITY PLAN OUTSIDE OF AFS SELLING AGREEMENTS. AFTER DISCOVERED AND REQUESTED BY THE FIRM, I SUBMITTED DOCUMENTS TO THE FIRM SHOWING THAT I PLANNED TO RUN THE PLAN THROUGH THE FIRM."

Reporting Source:

Broker

Employer Name:

ALLSTATE FINANCIAL SERVICES, LLC

Termination Type:

Discharged

Termination Date:

03/27/2012

Allegations:

FIRM STATED THAT REPRESENTATIVE IMPROPERLY SUBMITTED



SECURITIES BUSINESS BY BYPASSING THE FIRM AND FAILED TO PROVIDE
SUITABILITY DOCUMENTATION

Product Type:

Annuity-Variable
Mutual Fund

Broker Statement

THE BUSINESS WAS A GROUP 401K PLAN THAT WAS ORIGINALLY SET UP
WITH A FIRM WE HAD A SELLING AGREEMENT WITH. THE GROUPS PLAN
HAD TO BE CHANGED TO ALLOW FOR AN OUTSIDE TPA TO ADMISTER THE
PLAN. THIS CAUSED THE PLAN TO CHANGE TO A GROUP ANNUITY WHICH
MY FIRM DID NOT HAVE A SELLING AGREEMENT WITH. ALL PLAN
DOCUMENTS WERE SUBMITTED TO THE BROKER-DEALER.

End of Report



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