

BrokerCheck Report

Kathryn Leeper Hooper

CRD# 3099687

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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:
 - o 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
 - o 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.



Kathryn L. Hooper

CRD# 3099687

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

IA OSAIC INSTITUTIONS, INC.
 627 E Locust St
 Des Moines, IA 50309
 CRD# 35371
 Registered with this firm since: 01/13/2025

B OSAIC INSTITUTIONS, INC.
 627 E Locust St
 Des Moines, IA 50309
 CRD# 35371
 Registered with this firm since: 01/13/2025

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
- 4 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 SORRENTO PACIFIC FINANCIAL, LLC**
 CRD# 127787
 SAN DIEGO, CA
 12/2017 - 01/2025
- B SORRENTO PACIFIC FINANCIAL, LLC**
 CRD# 127787
 Des Moines, IA
 12/2017 - 01/2025
- IA INVEST FINANCIAL CORPORATION**
 CRD# 12984
 APPLETON, WI
 05/2017 - 12/2017

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

Employment 1 of 1

Firm Name: **OSAIC INSTITUTIONS, INC.**

Main Office Address: **538 PRESTON AVENUE
MERIDEN, CT 06450-4858**

Firm CRD#: **35371**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/13/2025

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	01/13/2025
B Florida	Agent	Approved	01/13/2025
B Iowa	Agent	Approved	01/13/2025
IA Iowa	Investment Adviser Representative	Approved	01/13/2025
B Texas	Agent	Approved	01/13/2025

Branch Office Locations

OSAIC INSTITUTIONS, INC.

627 E Locust St
Des Moines, IA 50309



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	11/09/1998

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/04/2010
B Uniform Securities Agent State Law Examination	Series 63	01/20/1999

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
B 12/2017 - 01/2025	SORRENTO PACIFIC FINANCIAL, LLC	127787	Des Moines, IA
IA 12/2017 - 01/2025	SORRENTO PACIFIC FINANCIAL, LLC	127787	Des Moines, IA
B 05/2017 - 12/2017	INVEST FINANCIAL CORPORATION	12984	Des Moines, IA
IA 05/2017 - 12/2017	INVEST FINANCIAL CORPORATION	12984	Des Moines, IA
B 11/2011 - 04/2016	BROKER DEALER FINANCIAL SERVICES CORP.	8073	WEST DES MOINES, IA
IA 11/2011 - 04/2016	INVESTMENT ADVISORS CORP	117531	WEST DES MOINES, IA
B 01/2011 - 10/2011	WELLS FARGO ADVISORS, LLC	19616	CLIVE, IA
IA 01/2011 - 10/2011	WELLS FARGO ADVISORS, LLC	19616	CLIVE, IA
IA 08/2010 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	CLIVE, IA
B 12/2000 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	CLIVE, IA
B 12/2000 - 03/2001	WELLS FARGO BROKERAGE SERVICES, L.L.C.	16100	MINNEAPOLIS, MN
B 11/1998 - 12/2000	WELLS FARGO BROKERAGE SERVICES, L.L.C.	16100	MINNEAPOLIS, MN

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
01/2025 - Present	Osaic Institutions, Inc.	reg rep	Y	Meriden, CT, United States
08/2021 - Present	Iowa State Bank	Bank Employee	Y	Des Moines, IA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2021 - 01/2025	Sorrento Pacific Financial, LLC	Registered Representative	Y	San Diego, CA, United States
12/2017 - 08/2021	Sorrento Pacific Financial, LLC	Sales Assistant	Y	San Diego, CA, United States
05/2017 - 08/2021	Iowa State Bank	Bank Employee	N	Des Moines, IA, United States
05/2017 - 12/2017	INVEST Financial Corporation	Registered Sales Assistant	Y	Tampa, FL, United States
07/2016 - 05/2017	Boyle Capital Management	Client Services Specialist	Y	West Des Moines, IA, United States
04/2016 - 07/2016	Unemployed	Unemployed	N	Des Moines, IA, United States
11/2011 - 03/2016	BROKER DEALER FINANCIAL SERVICES CORP.	REGISTERED SALES ASSISTANT	Y	WEST DES MOINES, IA, United States

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.

No information reported.

End of Report



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