

FORM U4**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER****DST WEALTH MANAGEMENT LLC(302110)****Rev. Form U4 (05/2009)****Individual Name: MOORE, CHRISTOPHER WALTON (2114648)****U4 Amendment - Filing ID: 67163218****Filing Date: 03/04/2025****1. General Information**

First Name:	Middle Name:	Last Name:	Suffix:
CHRISTOPHER	WALTON	MOORE	
Firm CRD #:	Firm Name:	Employment Date (MM/DD/YYYY):	
302110	DST WEALTH MANAGEMENT LLC	09/23/2022	
Firm Billing Code:	Individual CRD #:	Individual SSN:	
	2114648	XXX-XX-XXXX	

Do you have an independent contractor relationship with the above named *firm*?:☒ Yes ☐ No**Office of Employment Address:**

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Residential Supervisory Location*	Type of Office	Start Date	End Date
			5A Sandy Pointe Dr Halfmoon, NY 12065 United States	Yes		Located At	09/23/2022	
IA Main			45110 CLUB DRIVE SUITE B INDIAN WELLS, CA 92210 United States	No		Supervised From	09/23/2022	

If "Yes" is selected, the *firm* confirms that this location is designated as an RSL as defined in FINRA Rule 3110.*2. Fingerprint Information**Electronic Filing Representation

- ☐ By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate *SRO* a fingerprint card as required under applicable *SRO* rules; or
Fingerprint card barcode
- ☐ By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
- ☐ By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an *SRO* other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

- ☐ By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/*filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:
 - ☐ Rule 17f-2(a)(1)(i)
 - ☐ Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

- ☒ I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
 - ☐ I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or
 - ☒ I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

3. Registration With Unaffiliated Firms

Some *jurisdictions* prohibit "dual registration", which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not affiliated. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not affiliated with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

- | | Yes | No |
|--|-----------------------|----------------------------------|
| A. Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes", list the <i>firm</i> (s) in Section 12 (Employment History). | <input type="radio"/> | <input checked="" type="radio"/> |

- B.** Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*? If you answer "yes", list the *firm(s)* in Section 12 (Employment History).

4. SRO Registrations

Select appropriate **SRO Registration requests.**

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REPRESENTATIVE LEVEL REGISTRATION CATEGORIES

REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-CHI	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX Emerald	MIAX Options	MIAX PEARL	BOX	IEX	LTSE	MEMX	MIAX Sapphire
IR - Investment Company and Variable Contracts Products Rep. (S6TO)	<input type="checkbox"/>																									
GS - Full Registration/General Securities Representative (S7TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
DR - Direct Participation Program Representative (S22TO)	<input type="checkbox"/>																									
MR - Municipal Securities Representative (S52TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>																				
TD - Securities Trader (S57TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
IB - Investment Banking Representative (S79TO)	<input type="checkbox"/>																									
PR - Limited Representative - Private Securities Offerings (S82TO)	<input type="checkbox"/>																									
RS - Research Analyst (S86 and S87)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																							
OS - Operations Professional (S99TO)	<input type="checkbox"/>																									
Other _____ (Paper Form Only)																										
RETIRED REGISTRATION CATEGORIES																										
AR - Assistant Representative/Order Processing	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>													

4/17

[illegible]

5. Jurisdiction Registration

Check appropriate *jurisdiction(s)* for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	<input type="checkbox"/>	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	<input type="checkbox"/>	Montana	<input type="checkbox"/>	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>	<input type="checkbox"/>
Arizona	<input type="checkbox"/>	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>	<input type="checkbox"/>
California	<input type="checkbox"/>	<input type="checkbox"/>	Kentucky	<input type="checkbox"/>	<input type="checkbox"/>	New Jersey	<input type="checkbox"/>	<input type="checkbox"/>	Tennessee	<input type="checkbox"/>	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	<input type="checkbox"/>	Louisiana	<input type="checkbox"/>	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	<input type="checkbox"/>	Texas	<input type="checkbox"/>	<input type="checkbox"/>
Connecticut	<input type="checkbox"/>	<input type="checkbox"/>	Maine	<input type="checkbox"/>	<input type="checkbox"/>	New York	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Utah	<input type="checkbox"/>	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	<input type="checkbox"/>	Vermont	<input type="checkbox"/>	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	<input type="checkbox"/>	Virgin Islands	<input type="checkbox"/>	<input type="checkbox"/>
Florida	<input type="checkbox"/>	<input type="checkbox"/>	Michigan	<input type="checkbox"/>	<input type="checkbox"/>	Ohio	<input type="checkbox"/>	<input type="checkbox"/>	Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	Washington	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
									Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

AGENT OF THE ISSUER REGISTRATION (AI) ☐ Indicate 2 letter *jurisdiction* code(s): _____**6. Registration Requests with Affiliated Firms**

Will *applicant* maintain registration with *firm(s)* under common ownership or control with the *filing firm*?
 If "yes", fill in the details to indicate a request for registration with additional *firm(s)*.

☐ Yes ☒ No
7. Examination Requests

Scheduling or Rescheduling Examinations Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a

jurisdiction that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

- | | | | | |
|-------------------------------|--------------------------------|------------------------------|--------------------------------|--------------------------------|
| <input type="checkbox"/> SIE | <input type="checkbox"/> S14 | <input type="checkbox"/> S28 | <input type="checkbox"/> S51 | <input type="checkbox"/> S66 |
| <input type="checkbox"/> S3 | <input type="checkbox"/> S16 | <input type="checkbox"/> S30 | <input type="checkbox"/> S52TO | <input type="checkbox"/> S79TO |
| <input type="checkbox"/> S4 | <input type="checkbox"/> S22TO | <input type="checkbox"/> S31 | <input type="checkbox"/> S53 | <input type="checkbox"/> S82TO |
| <input type="checkbox"/> S6TO | <input type="checkbox"/> S23 | <input type="checkbox"/> S32 | <input type="checkbox"/> S54 | <input type="checkbox"/> S86 |
| <input type="checkbox"/> S7TO | <input type="checkbox"/> S24 | <input type="checkbox"/> S34 | <input type="checkbox"/> S57TO | <input type="checkbox"/> S87 |
| <input type="checkbox"/> S9 | <input type="checkbox"/> S26 | <input type="checkbox"/> S39 | <input type="checkbox"/> S63 | <input type="checkbox"/> S99TO |
| <input type="checkbox"/> S10 | <input type="checkbox"/> S27 | <input type="checkbox"/> S50 | <input type="checkbox"/> S65 | |

Other _____ (Paper Form Only)

OPTIONAL: Foreign Exam City _____

Date (MM/DD/YYYY) _____

8. Professional Designations

Select each designation you currently maintain.

- ☐ **Certified Financial Planner**
- ☐ **Chartered Financial Consultant (ChFC)**
- ☐ **Personal Financial Specialist (PFS)**
- ☐ **Chartered Financial Analyst (CFA)**
- ☐ **Chartered Investment Counselor (CIC)**

9. Identifying Information/Name Change

First Name:

CHRISTOPHER

Middle Name:

WALTON

Last Name:

MOORE

Suffix:

State of Birth

California

Province of Birth

Country of Birth

United States

Date of Birth(MM/DD/YYYY)

11/24/1965

Sex☒ **Male** ☐ **Female****Hair Color**

Brown

Eye Color

Blue

Height (ft)

5

Height (in)

7

Weight (lbs)

165

10. Other Names**Other Names**

MOORE, CHRISTOPHER WALTON

MOORE, CHRISTOPHER MOORE

MOORE, CHRISTOPHER MARK

Moore, Chris

11. Residential History

From	To	Street Address
10/2020	PRESENT	5 SANDY POINTE DRIVE APARTMENT A HALFMOON, NY 12065 United States
05/2012	10/2020	1517 E. WASHINGTON AVE. SANTA ANA, CA 92701 United States
12/2010	05/2012	109 S. COUNTRY CLUB RD. GLENDORA, CA 91741 United States
08/2001	12/2010	1613 MAYFLOWER AVE. ARCADIA, CA 91006 United States
01/1998	08/2001	835 RANDOM LANE DUARTE, CA 91010 United States
12/1997	01/1998	3405 N. MTN. VIEW DR SAN DIEGO, CA 92116 United States
11/1995	12/1997	3405 N. MTN. VIEW DR SAN DIEGO, CA 92116 United States

12. Employment History

From	To	Name of Firm or Company	Address	Investment Related	Position Held
02/2025	PRESENT	ASHTON STEWART & CO., INC.	NEW YORK, NY United States	Yes	REGISTERED REPRESENTATIVE
09/2022	PRESENT	DST Wealth Managment LLC	Halfmoon, NY United States	Yes	Investment Advisor Representative
02/2014	02/2025	Self Employed	Santa Ana, CA United States	No	Musician
01/2016	08/2021	Patrick Capital Markets	Saint Louis, MO United States	Yes	Registered Representative

From	To	Name of Firm or Company	Address	Investment Related	Position Held
07/2009	02/2014	PATRICK FINANCIAL CORP	ST. LOUIS, MO United States	Yes	REGISTERED REPRESENTATIVE
12/2008	06/2009	K-ONE INVESTMENT COMPANY, INC.	FORT SMITH, AR United States	Yes	GENERAL REPRESENTATIVE
09/2008	12/2008	Unemployed	ARCADIA, CA United States	No	Unemployed
02/2006	09/2008	OLD MUTUAL INVESTMENT PARTNERS	DENVER, CO United States	Yes	REGIONAL VICE PRESIDENT
02/2005	02/2006	PACIFIC CORNERSTONE CAPITAL, INC.	NEWPORT BEACH, CA United States	Yes	REGISTERED REPRESENTATIVE
02/2005	02/2006	CORNERSTONE VENTURES, INC.	NEWPORT BEACH, CA United States	No	REGIONAL VICE PRESIDENT
11/2001	02/2005	CAPITAL BROKERAGE CORPORATION	RICHMOND, VA United States	Yes	REGISTERED REPRESENTATIVE
11/2001	02/2005	GE FINANCIAL ASSURANCE	RICHMOND, VA United States	Yes	SALES REPRESENTATIVE
12/2000	11/2001	SAGEMARK CONSULTING, INC.	HARTFORD, CT United States	Yes	MASS TRANSFER
11/1998	12/2000	DELAWARE DISTRIBUTORS, L.P.	PHILADELPHIA, PA United States	Yes	WHOLESALER
01/1998	11/1998	ALLIANCE FUND DISTRIBUTORS, INC.	DUARTE, CA United States	Yes	NOT PROVIDED
12/1996	01/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SAN DIEGO, CA United States	Yes	NOT PROVIDED
12/1995	01/1997	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	SAN DIEGO, CA United States	Yes	NOT PROVIDED
12/1995	01/1997	LINCOLN FINANCIAL ADVISORS CORPORATION	SAN DIEGO, CA United States	Yes	NOT PROVIDED
12/1995	12/1996	LINCOLN FINANCIAL	SAN DIEGO, CA United States	No	OTHER - REGISTERED REP

13. Other Business

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

☒ **Yes** ☐ **No**

If 'Yes', please enter details below.

DST WEALTH MANAGEMENT LLC, INVESTMENT-RELATED; CALIFORNIA; INVESTMENT ADVISOR REPRESENTATIVE; START DATE: 09/2022; APPROXIMATELY 100 HRS/MO DURING TRADING HOURS; INVESTMENT ADVISORY SERVICES.

14. Disclosure Questions

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure

14A. (1) Have you ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*?

Yes No

☐ ☒

(b) been *charged* with any *felony*?

☐ ☒

(2) Based upon activities that occurred while you exercised *control* over it, has an organization ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*?

☐ ☒

(b) been *charged* with any *felony*?

☐ ☒

14B. (1) Have you ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor* involving: investments or an *investment-related* business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?

Yes No

☐ ☒

(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?

☐ ☒

(2) Based upon activities that occurred while you exercised *control* over it, has an organization ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)?

☐ ☒

(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?

☐ ☒

Regulatory Action Disclosure

14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

(1) *found* you to have made a false statement or omission?

Yes No

☐ ☒

(2) *found* you to have been *involved* in a violation of its regulations or statutes?

☐ ☒

(3) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked, or restricted?

☐ ☒

(4) entered an *order* against you in connection with *investment-related* activity?

☐ ☒

(5) imposed a civil money penalty on you, or *ordered* you to cease and desist from any activity?

☐ ☒

- (6) *found* you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or *found* you to have been unable to comply with any provision of such Act, rule or regulation? ☐ ☒
- (7) *found* you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? ☐ ☒
- (8) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? ☐ ☒

14D. (1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever: **Yes No**

- (a) *found* you to have made a false statement or omission or been dishonest, unfair or unethical? ☐ ☒
- (b) *found* you to have been *involved* in a violation of *investment-related* regulation(s) or statute(s)? ☐ ☒
- (c) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (d) entered an *order* against you in connection with an *investment-related* activity? ☐ ☒
- (e) denied, suspended, or revoked your registration or license or otherwise, by *order*, prevented you from associating with an *investment-related* business or restricted your activities? ☐ ☒

(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:

- (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or ☐ ☒
- (b) constitutes a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? ☐ ☒

14E. Has any self-regulatory organization ever: **Yes No**

- (1) *found* you to have made a false statement or omission? ☐ ☒
- (2) *found* you to have been *involved* in a violation of its rules (other than a violation designated as a "*minor rule violation*" under a plan approved by the U.S. Securities and Exchange Commission)? ☐ ☒
- (3) *found* you to have been the cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities? ☐ ☒

- (5) *found* you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or *found* you to have been unable to comply with any provision of such Act, rule or regulation? ☐ ☒
- (6) *found* you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? ☐ ☒
- (7) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? ☐ ☒

14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended? ☐ ☒

14G. Have you been notified, in writing, that you are now the subject of any: **Yes No**

- (1) regulatory complaint or *proceeding* that could result in a "yes" answer to any part of 14C, D or E? (If "yes", complete the *Regulatory Action* Disclosure Reporting Page.) ☐ ☒
- (2) *investigation* that could result in a "yes" answer to any part of 14A, B, C, D or E? (If "yes", complete the *Investigation* Disclosure Reporting Page.) ☐ ☒

Civil Judicial Disclosure

14H. (1) Has any domestic or foreign court ever: **Yes No**

- (a) *enjoined* you in connection with any *investment-related* activity? ☐ ☒
- (b) *found* that you were *involved* in a violation of any *investment-related* statute(s) or regulation(s)? ☐ ☒
- (c) dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against you by a state or *foreign financial regulatory authority*? ☐ ☒

(2) Are you named in any pending *investment-related* civil action that could result in a "yes" answer to any part of 14H(1)? ☐ ☒

Customer Complaint/Arbitration/Civil Litigation Disclosure

14I. (1) Have you ever been named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation which alleged that you were *involved* in one or more *sales practice violations* and which: **Yes No**

- (a) is still pending, or; ☐ ☒
- (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or; ☐ ☒
- (c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or; ☐ ☒
- (d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more? ☐ ☒

(2) Have you ever been the subject of an *investment-related*, consumer-initiated (written or oral) complaint, which alleged that you were *involved* in one or more *sales practice violations*, and which:

(a) was settled, prior to 05/18/2009 for an amount of \$10,000 or more, or;

☐ ☒

(b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

☐ ☒**(3) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated, written complaint, not otherwise reported under question 14I(2) above, which:**(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;☐ ☒(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?☐ ☒**Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.****(4) Have you ever been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation which alleged that you were *involved* in one or more *sales practice violations*, and which:**

(a) was settled for an amount of \$15,000 or more, or;

☐ ☒

(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of any amount?

☐ ☒**(5) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation not otherwise reported under questions 14I(4) above, which:**(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation, must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;☐ ☒(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?☐ ☒**Termination Disclosure****14J. Have you ever voluntarily *resigned*, been discharged or permitted to *resign* after allegations were made that accused you of:****Yes No**(1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct?☐ ☒

(2) fraud or the wrongful taking of property?

☐ ☒(3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct?☐ ☒**Financial Disclosure****14K. Within the past 10 years:****Yes No**

(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

☐ ☒(2) based upon events that occurred while you exercised *control* over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?☐ ☒(3) based upon events that occurred while you exercised *control* over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor☐ ☒

Protection Act?

14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?**14M. Do you have any unsatisfied judgments or liens against you?****15. Signatures**

Please Read Carefully

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

This section must be completed on all initial or Temporary Registration form filings.

15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS

This section must be completed on all initial or Temporary Registration form filings.

15C TEMPORARY REGISTRATION ACKNOWLEDGMENT

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

This section must be completed on all amendment form filings.

15F FIRM/APPROPRIATE SIGNATORY CONCURRENCEThis section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).**15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT**

If an *applicant* has been registered in a *jurisdiction* or self regulatory organization (SRO) in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or SRO if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or SRO requested on this Form U4, while my registration with the *jurisdiction(s)* and/or SRO(s) requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or SRO(s) noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or SRO(s) in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or SRO until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or SRO;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or SRO in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or SRO withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or SRO until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or SRO, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or SRO until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or SRO with respect to any decision by that *jurisdiction* and/or SRO to deny my application for registration.

Date (MM/DD/YYYY)

Signature of Applicant

Signature _____

15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

Date (MM/DD/YYYY)

03/04/2025

Signature of Applicant

CHRISTOPHER W. MOORE

Signature _____

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Date (MM/DD/YYYY)

03/04/2025

Signature of Appropriate Signatory

EDWARD WOOLERY

Signature _____

Bankruptcy / SIPC / Compromise with Creditors

No Information Filed

Bond DRP

No Information Filed

Civil Judicial DRP

No Information Filed

Criminal DRP

No Information Filed

Customer Complaint DRP

No Information Filed

Investigation DRP

No Information Filed

Judgment Lien DRP

No Information Filed

Regulatory Action DRP

No Information Filed

Termination DRP

No Information Filed