

No. **2026-10118**

**Official Order
of the
Texas Commissioner of Insurance**

Date: 09/15/2026

Subject Considered:

Kelly Ray Moore
Houston, Texas

Default Order
TDI Enforcement File No. 37171

General remarks and official action taken:

This is a default order taken against Kelly Ray Moore (Respondent) because he engaged in fraudulent or dishonest acts or practices and failed to notify TDI of an administrative action taken against him by the Financial Industry Regulatory Authority (FINRA), a financial regulator of the United States. Respondent did not respond to a Notice of Allegations mailed by the Texas Department of Insurance. This order revokes Respondent's license.

The following findings of fact and conclusions of law are adopted:

Findings of Fact

Failure to Respond to Notice of Allegations

1. On June 17, 2026, the department sent a Notice of Allegations, attached as Exhibit A, to Respondent.
2. The department sent the Notice of Allegations to Respondent's last known address provided in writing to the department, [REDACTED], Houston, TX 77094-1912. The department also sent the Notice of Allegations to Respondent's electronic mail address he last designated for receipt of official department communications.

2026-10118

Commissioner's Order

Kelly Ray Moore

Page 2 of 4

3. The department gave Respondent notice and opportunity for a hearing, which Respondent waived by failing to send a written response to the Notice of Allegations within 20 days after the date it was mailed.
4. The department's factual allegations set out in the attached Notice of Allegations are incorporated in this order as findings of fact.

Conclusions of Law

1. The commissioner has jurisdiction under Texas law, including TEX. INS. CODE §§ 82.051-82.055, 4001.002, 4005.101, 4005.102, 4051.051, and 4054.051; and TEX. GOV'T CODE §§ 2001.003(1) and 2001.051-2001.178.
2. The commissioner has authority to dispose of this case informally under TEX. GOV'T CODE § 2001.056; TEX. INS. CODE § 82.055; and 28 TEX. ADMIN. CODE § 1.47.
3. The department provided proper notice to Respondent under TEX. GOV'T CODE §§ 2001.003(1), 2001.051, 2001.052, 2001.054, and 2001.056(4), and 28 TEX. ADMIN. CODE §§ 1.1302, 1.28, 1.47, and 19.906.
4. Based on Respondent's failure to send the department a written response to the Notice of Allegations, the department is entitled to disposition by default under 28 TEX. ADMIN. CODE § 1.47.
5. Respondent failed to show compliance with the law.
6. The department's factual and legal allegations set out in the attached Notice of Allegations are incorporated in this order and deemed admitted as true under 28 TEX. ADMIN. CODE § 1.47.

2026-10118

Commissioner's Order

Kelly Ray Moore

Page 3 of 4

Order

It is ordered that any licenses held by Kelly Ray Moore are revoked. A copy of this order will be provided to law enforcement or other appropriate administrative agencies for further investigation as may be warranted.

Signed by:

Amanda Crawford

FE10434BC41A470...

Amanda Crawford

Commissioner of Insurance

Prepared and reviewed by:

/s/ Casey Dick

Casey Dick, Staff Attorney
Enforcement

Affidavit

STATE OF TEXAS §

§

COUNTY OF TRAVIS §

Before me, the undersigned authority, personally appeared Jackie Gonzales, who, being by me duly sworn, deposed as follows:

"My name is Jackie Gonzales and I am employed by the Texas Department of Insurance. I am of sound mind, capable of making this affidavit, and have personal knowledge of these facts which are true and correct.

I have reviewed TDI's records concerning Kelly Ray Moore. I have confirmed that:

- a. The last mailing address provided to the department in writing by Kelly Ray Moore is [REDACTED] Houston, TX 77094-1912.
- b. The file maintained by Enforcement contains a Notice of Allegations dated June 17, 2026, which was sent to Kelly Ray Moore.
- c. On June 17, 2026, the Notice of Allegations addressed to Kelly Ray Moore was mailed first-class and certified, return receipt requested, to his last known address.

Copies of the first-class mail log and certified mail log maintained by Enforcement are attached as Exhibit B and Exhibit C, respectively."

Signed by:

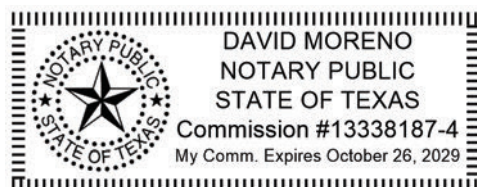
Jackie Gonzales

7AD520C49232481...

Affiant

SWORN TO AND SUBSCRIBED before me by means of an interactive two-way audio and video communication on 7/27/2026. This notarial act was an online notarization.

Notary Seal



Digital Certificate

Signed by:

David Moreno

455E4109E15D4CD...

Notary Public State of Texas

2026-10118



PO Box 12030 | Austin, TX 78711 | 800-578-4677 | tdi.texas.gov

June 17, 2026

Kelly Ray Moore

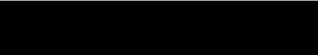


Houston, TX 77094-1912

Via CM/RRR No.9214 8901 9403 8329 3753 55

Via First Class Mail

and Via Email:



TDI ENFORCEMENT CASE NO. 37171
NOTICE OF ALLEGATIONS AGAINST KELLY RAY MOORE

The Texas Department of Insurance (TDI) seeks to take disciplinary action against you. This Notice states the allegations against you and the relief sought by TDI.

YOUR WRITTEN RESPONSE IS REQUIRED WITHIN 20 DAYS

YOU HAVE THE RIGHT TO A HEARING AND ARE INVITED TO SHOW COMPLIANCE WITH THE LAW. To request a hearing, you must send a written response to TDI within 20 days of the date this Notice was mailed.

If you fail to send a written response by the deadline, *you waive your right to a hearing*, and TDI may seek disposition by default under 28 Tex. Admin. Code § 1.47, Tex. Ins. Code § 82.055, and Tex. Gov't. Code § 2001.056.

If you fail to send a written response by the deadline, without further notice to you, the commissioner of insurance may issue a default order that admits the factual matters asserted, deems all allegations as true, and orders the relief recommended in this Notice.

You must send your written response by mail, fax, or email to:

Casey Dick, Staff Attorney
Texas Department of Insurance
Enforcement, MC ENF
P.O. Box 12030
Austin, Texas 78711-2030
(512) 490-1020 (Fax)
casey.dick@tdi.texas.gov

EXHIBIT

A

Jurisdiction

The commissioner of insurance has jurisdiction over this matter under Tex. Ins. Code §§ 82.051-82.055, 4001.002, 4005.101, 4005.102, 4051.051, and 4054.051; and Tex. Gov't Code §§ 2001.051-2001.178.

Factual Allegations

1. Kelly Ray Moore (Moore), individual identification number 53243, holds a general lines agent license with a life, accident, health, and HMO qualification issued by TDI on March 25, 1987.
2. On April 14, 2025, in matter number 2023079506301, the Financial Industry Regulatory Authority (FINRA) entered a Letter of Acceptance, Waiver, and Consent (AWC) permanently barring Moore from association with any FINRA member.
3. In this AWC, Moore accepted and consented to the following findings without admitting to or denying them. Specifically, the AWC states that:
 - a. FINRA reviewed a Uniform Termination Notice filed by LPL Financial LLC which disclosed that Moore was discharged from employment based on the firm's disagreement with Moore's short-term liquidation strategy of A-share mutual funds.
 - b. On February 4, 2025, in connection with FINRA's investigation into the allegations, FINRA sent a request to Moore for the production of documents and information pursuant to FINRA Rule 8210.
 - c. Through his counsel, Moore acknowledged receipt of the request but would not produce the information or documents requested.
 - d. Moore's refusal to provide the requested information constituted a violation of FINRA rules 8210 and 2010.
4. Moore failed to notify TDI of this administrative action taken against him by a financial regulator of the United States.
5. In February 2026, TDI contacted Moore to discuss his failure to properly report this matter to TDI and a resolution of these allegations. Despite that, to date Moore has still not properly reported or uploaded information about this

administrative action into the electronic warehouses in which license holders may notify TDI and other insurance regulators of the actions taken.

Legal Allegations

1. Moore has committed acts for which a license holder may be disciplined under Tex. Ins. Code § 4005.101 because he engaged in fraudulent or dishonest acts or practices, in violation of Tex. Ins. Code § 4005.101(b)(5).
2. Moore failed to notify TDI of an administrative action taken against him by FINRA, a financial regulator of the United States, in violation of Tex. Ins. Code § 4001.252(a)(3).

Relief Sought

TDI seeks the following relief:

1. revocation of your license; and,
2. imposition of any other just and appropriate relief to which the department may be entitled to by law, including any combination of the above actions.

Respectfully,

/s/ Casey Dick

Carey Dick

State Bar No. 24132039

Texas Department of Insurance

Enforcement, MC ENF

P.O. Box 12030

Austin, Texas 78711-2030

(512) 676-6328 (Direct)

(512) 490-1020 (Fax)

Casey.Dick@tdi.texas.gov

cc: Leah Gillum, Deputy Commissioner, Fraud and Enforcement Division, MC: ENF
Rachel Cloyd, Litigation Director, Enforcement, MC: ENF
Administrative Review, MC: CO

CERTIFICATE OF SERVICE

I, Casey Dick, certify that a true and correct copy of this *Notice of Allegations Against Kelly Ray Moore* was sent by the following methods on this 17th day of June, 2026 to:

Kelly Ray Moore

[REDACTED]

Houston, TX 77094-1912

Via CM/RRR No. 9214 8901 9403 8329 3753 55

Via First Class Mail

and Via Email: [REDACTED]

15/ Casey Dick
Casey Dick



A. Mailer Action

Shipment Confirmation Acceptance Notice

Note to Mailer: The labels and volume associated to this form online, must match the labeled packages being presented to the USPS® employee with this form.

Shipment Date: 06/17/2026

Shipped From:

Name: ENF J GONZALES

Address: 1801 CONGRESS AVE

City: AUSTIN

State: TX ZIP+4® 78701

Type of Mail	Volume
Priority Mail Express®	
Priority Mail®	
First-Class Package Service®	
Returns	
International®	
Other	1
Total	1

*Start time for products with service guarantees will begin when mail arrives at the local Post Office™ and items receive individual processing and acceptance scans.

B. USPS Action

Note to RSS Clerk:

1. Home screen > Mailing/Shipping > More
2. Select Shipment Confirm
3. Scan or enter the barcode/label number from PS Form 5630
4. Confirm the volume count message by selecting Yes or No
5. Select Pay and End Visit to complete transaction

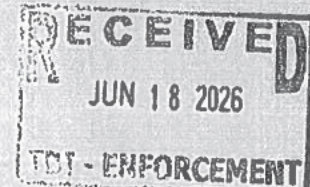
USPS EMPLOYEE: Please scan upon pickup or receipt of mail.
Leave form with customer or in customer's mail receptacle.

USPS SCAN AT ACCEPTANCE



9275 0901 1935 6200 0071 7241 70

DICK/37171



EXHIBIT

C

