

**Kevin C. Moody**

**EagleStone Tax & Wealth Advisors**

**1101 Wootton Parkway  
Suite 400  
Rockville, MD 20852**

**Telephone: 301-924-2160**

**January 9, 2025**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Kevin C. Moody that supplements the EagleStone Tax & Wealth Advisors brochure. You should have received a copy of that brochure. Contact us at 301-924-2160 if you did not receive EagleStone Tax & Wealth Advisors's brochure or if you have any questions about the contents of this supplement.

Additional information about Kevin C. Moody (CRD # 6801442) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Kevin C. Moody**

*Year of Birth:* 1982

*Formal Education After High School:*

- Arizona State University, Bachelor's of Interdisciplinary Studies, History & Education, 2006

*Business Background:*

- EagleStone Tax & Wealth Advisors, Senior Wealth Advisor, 1/2022 - Present
- DAI Securities, LLC, Registered Representative, 1/2022 - Present
- Bank of America, N.A., Financial Advisor, 10/2017 - 1/2022
- Merrill Lynch, Pierce, Fenner & Smith Incorporated, Financial Advisor, 5/2017 - 1/2022
- Unemployed, N/A, 11/2016 - 5/2017

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Kevin C. Moody has no required disclosures under this item.

## Item 4 Other Business Activities

Kevin C. Moody is a Registered Representative with DAI Securities, LLC. DAI Securities, LLC is a diversified financial services company engaged in the sale of specialized investment products. In this capacity, Mr. Moody may recommend securities or insurance products offered by DAI Securities, LLC as part of your investment portfolio. If you purchase these products through Mr. Moody, he will receive the customary commissions in his separate capacity as a Registered Representative of DAI Securities, LLC.

Additionally, Mr. Moody could be eligible to receive incentive awards such as DAI Securities, LLC may offer. He will also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation will give Mr. Moody an incentive to recommend investment products based on the compensation received, rather than on your investment needs.

As stated above, persons providing investment advice to advisory clients on behalf of our firm are registered representatives with DAI Securities, LLC. In their capacity as registered representatives, these persons receive compensation in connection with the purchase and sale of securities or other investment products, including asset-based sales charges, service fees or 12b-1 fees for the sale or holding mutual funds. Compensation earned by these persons in their capacities as registered representatives is separate and in addition to our advisory fees. This practice presents a conflict of interest because persons providing investment advice to advisory clients on behalf of our firm who are registered representatives have an incentive to recommend investment products based on the compensation received rather than solely based on your needs. Persons providing investment advice to advisory clients on behalf of our firm can select or recommend, and in many instances will select or recommend, mutual fund investments in share classes that pay 12b-1 fees when clients are eligible to purchase share classes of the same funds that do not pay such fees and are less expensive. This presents a conflict of interest. You are under no obligation, contractually or otherwise, to purchase securities products through a person affiliated with our firm.

## **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. Moody's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of EagleStone Tax & Wealth Advisors's firm brochure for additional disclosures on this topic.

## **Item 6 Supervision**

In the supervision of our associated persons, advice provided is limited based on the restrictions set by EagleStone Tax & Wealth Advisors, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Tarun Mehta, President and Chief Compliance Officer

Supervisor phone number: 301-917-9309