



IAPD Report

GREGORY PAUL RICKS

CRD# 1060841

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

GREGORY PAUL RICKS (CRD# 1060841)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	AE WEALTH MANAGEMENT, LLC	CRD# 282580	05/06/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
	J. W. COLE ADVISORS, INC.	112294	Metairie, LA	04/17/2019 - 05/08/2019
	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	METAIRIE, LA	10/31/2017 - 04/23/2019
	GREGORY RICKS LLC DBA GREGORY RICKS & ASSOCIATES	159495	METAIRIE, LA	06/04/2012 - 11/29/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AE WEALTH MANAGEMENT, LLC**
Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614
Firm ID#: 282580

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	07/08/2019
IA Mississippi	Investment Adviser Representative	Approved	08/28/2019
IA Texas	Investment Adviser Representative	Restricted Approval	05/06/2019

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
2800 Veterans Memorial Blvd
Ste 170
Metairie, LA 70002

AE WEALTH MANAGEMENT, LLC
4030 Lonesome Rd
Ste A
Mandeville, LA 70448

AE WEALTH MANAGEMENT, LLC
8930 Lorraine Rd
Ste C
Gulfport, MS 39503

AE WEALTH MANAGEMENT, LLC
10235 Jefferson Hwy
Bldg 4
Baton Rouge, LA 70809



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/19/2011
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/17/2019 - 05/08/2019	J. W. COLE ADVISORS, INC.	CRD# 112294	Metairie, LA
IA	10/31/2017 - 04/23/2019	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	METAIRIE, LA
IA	06/04/2012 - 11/29/2017	GREGORY RICKS LLC DBA GREGORY RICKS & ASSOCIATES	CRD# 159495	METAIRIE, LA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	Pine Breeze Farms, LLC	Owner	N	Lumberton, MS, United States
05/2019 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
12/2014 - Present	DOWN SOUTH STRATEGIES, INC.	PRESIDENT/CEO	N	METAIRIE, LA, United States
03/2010 - Present	Gregory Ricks & Associates, Inc. DBA Gregory Ricks Total Wealth	CEO AND INSURANCE AGENT	Y	METAIRIE, LA, United States
04/2019 - 05/2019	J.W. Cole Advisors, Inc.	Investment Adviser Representative	Y	Tampa, FL, United States
10/2017 - 04/2019	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, FL, United States
06/2012 - 10/2017	GREGORY RICKS LLC	CEO	Y	METAIRIE, LA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.) GREGORY RICKS AND ASSOCIATES, INC. DBA GREGORY RICKS TOTAL WEALTH; INVESTMENT-RELATED; 2800 VETERANS MEMORIAL BLVD., STE. 170 METAIRIE, LA 70002; INSURANCE SALES AND SERVICE; CEO AND INSURANCE AGENT; 3/2010; 80 HOURS PER MONTH; 80 HOURS PER MONTH; SALES OF FIXED INSURANCE PRODUCTS
- 2.) DOWN SOUTH STRATEGIES, INC.; NON INVESTMENT-RELATED; 2800 VETERANS MEMORIAL BLVD., STE. 170 METAIRIE, LA 70002; MARKETING COMPANY; PRESIDENT/CEO; 12/2014; 0 HOURS PER MONTH; 0 HOURS PER MONTH;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MARKETING

3.) WINNING MOTORCARS, LLC; NON INVESTMENT-RELATED; 2800 VETERANS MEMORIAL BLVD., STE. 170 METAIRIE, LA 70002; USED CAR SALES; PRESIDENT/CEO; 4/2014; 0 HOURS PER MONTH; 0 HOURS PER MONTH; ADMINISTRATIVE DUTIES

4.)ADVISOR BOOK: NON INVESMENT-RELATED; 2800 VETERANS EMEMORAL BLVD., STE 170 METAIRIE, LA 70002; BOOK AUTHOR; BOOK ON AMAZON. START DATE: 06/14/2024; No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0

BOOK ON AMAZON, ALL REEVENUE GOES TO AE.

5.)Estate planning document services ; 2800 Veterans Memorial Blvd, Suite 170, Metairie, LA 70002; Investment Related: No, Position: Facilitator; Date: 12/2025, Approx hours per month: 5, Hours during trading: 5.; Introduce, coordinate, and provide access to platform for clients to prepare estate planning documents. Making clients aware that they can set up their wills through Wealth.com

6.) AFEA; INVESTMENT RELATED: No;349 Copperfield Blvd NE, Ste-L #106, Concord NC 28025; Presenter; Start Date: 1/2026; NUMBER OF HOURS: 2; SECURITIES TRADING HOURS: 0; Educational Presenter

7.)PINE BREEZE FARMS, LLC; Non investment-Related; 2370 Purvis to Baxterville Rd, Lumberton MS 39455, United States: Hunting and timber farm; Owner;1/31/2025; NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0; Owner/Director



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GREGORY RICKS LLC DBA GREGORY RICKS & ASSOCIATES
Allegations:	Breach of Fiduciary duty, misrepresentations.
Product Type:	Other: Life Settlement
Alleged Damages:	\$550,000.00
Alleged Damages Amount Explanation (if amount not exact):	Not Specified

Civil Litigation Information

Type of Court:	State Court
Name of Court:	District Court
Location of Court:	Jefferson Parish, LA
Docket/Case #:	767985
Date Notice/Process Served:	04/10/2017
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/11/2024
Monetary Compensation Amount:	\$437,500.00



Individual Contribution Amount: \$437,500.00

Broker Statement Advisor has made the final settlement payment and case is dismissed with prejudice on 7/23/2024

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Gregory Ricks and Associates

Allegations: Misrepresentation

Product Type: Other: Senior Life Settlement

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The client did not allege any amount for damages in the complaint.

Civil Litigation Information

Type of Court: State Court

Name of Court: Louisiana Eastern District Court

Location of Court: Jefferson Parish, LA

Docket/Case #: 761-211

Date Notice/Process Served: 05/27/2016

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/20/2021

Monetary Compensation Amount: \$180,000.00

Individual Contribution Amount: \$180,000.00

Broker Statement Advisor has made the final settlement payment. Order of Dismissal received, case dismissed with prejudice 4/20/2021.



End of Report

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