



## IAPD Report

# JOSEPH WILLIAM HOPKINS

CRD# 1140561

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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.



## 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

### JOSEPH WILLIAM HOPKINS (CRD# 1140561)

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 **03/31/2026**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
MISSION RETIREMENT	CRD# 315964	10/26/2021

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
AE WEALTH MANAGEMENT, LLC	282580	TOMBALL, TX	09/06/2018 - 07/13/2021
GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	TOMBALL, TX	03/15/2010 - 09/06/2018

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
Regulatory Event	1
Criminal	1
Termination	1





## 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MISSION RETIREMENT**  
Main Address: 11619 SPRING CYPRESS ROAD, STE. B  
TOMBALL, TX 77377  
Firm ID#: 315964

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	11/15/2021
	Texas	Investment Adviser Representative	Approved	10/26/2021

### Branch Office Locations

**MISSION RETIREMENT**  
11619 SPRING CYPRESS ROAD, STE. B  
TOMBALL, TX 77377



## 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	12/23/2009
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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	09/06/2018 - 07/13/2021	AE WEALTH MANAGEMENT, LLC	CRD# 282580	TOMBALL, TX
IA	03/15/2010 - 09/06/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	TOMBALL, TX

### 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
11/2009 - Present	JOSEPH HOPKINS & ASSOCIATES LLC	PRESIDENT/OWNER	Y	HOUSTON, TX, United States
09/2018 - 07/2021	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
03/2010 - 09/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, FL, 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.

Joseph Hopkins sells insurance products as an independent insurance agent in Tomball, TX. This is a non-investment related position which began in 1980. He devotes 5 hours per month in this activity, all of which are during securities trading hours.

Joseph Hopkins is the sole owner of LegacyWise. This is an investment related business, located in Tomball, TX, founded in January 2026. LegacyWise provides digital Estate Planning solutions to clients (and prospective clients) without offering legal advice. Mr. Hopkins spends around 10 hours per month on this business, all during trading hours.



## 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
Regulatory Event	1
Criminal	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Texas
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s) Reprimand Undertaking
<b>Date Initiated:</b>	10/26/2021
<b>Docket/Case Number:</b>	REG21-CAF-05
<b>URL for Regulatory Action:</b>	<a href="https://www.ssb.texas.gov/sites/default/files/2021-10/REG21_CAF_05.pdf">https://www.ssb.texas.gov/sites/default/files/2021-10/REG21_CAF_05.pdf</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AE Wealth Management, LLC
<b>Product Type:</b>	Promissory Note

**Allegations:** On August 5, 2021, Joseph Hopkins ("Respondent") applied for registration with the Securities Commissioner as an investment adviser representative of Joseph Hopkins & Associates, LLC ("JHA"). Prior to applying as an investment adviser representative of his own firm, Respondent worked as an investment adviser representative of AE Wealth Management, LLC ("AEWM"). While with AEWM, Respondent recommended that at least five of his clients Invest in a privately offered promissory note Issued by a company that was created to pool investor money and generate returns pursuant to a proprietary trading strategy. However, AEWM's written supervisory procedures prohibit its investment adviser representatives from recommending unregistered securities, including promissory notes. In making recommendations of the notes away from AEWM, Respondent's



recommendations were not done pursuant to his registration as an investment adviser representative of AEWM. To that end, Respondent acted as an unregistered dealer in connection with his recommendations of the notes.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 10/26/2021

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Undertaking  
Other: Reprimand

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$0.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 10/22/2021

**Was any portion of penalty waived?** No

**Amount Waived:**

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** Texas State Securities Board

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Reprimand  
Undertaking

**Date Initiated:** 10/26/2021

**Docket/Case Number:** Order No. REG21-CAF-05

**Employing firm when activity occurred which led to the regulatory action:** AE Wealth Management, LLC

**Product Type:** Promissory Note

**Allegations:** Mr. Hopkins recommended promissory notes to clients which such products were prohibited by his firm. These products were not registered securities, and Mr. Hopkins was not registered as a dealer or agent of a dealer as defined by Section 4 of the Texas Securities Act at the time of recommendation.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/26/2021
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Letter of Reprimand Undertaking
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	10/26/2021
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	Mr. Hopkins paid an administrative fine of \$5,000. Neither Mr. Hopkins, nor any representative of Joseph Hopkins & Associates, LLC shall recommend the purchase of any alternative investment, nor shall they refer any client or prospective client to any adviser who acts as an investment adviser to any alternative investment.



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

**Reporting Source:** Individual

**If charge(s) were brought against an organization over which individual exercised control:**

**Organization Name:**

**Investment Related Business:** No

**Position:**

**Formal Charges were brought in:** Federal Court

**Name of Court:** U. S. DISTRICT COURT

**Location of Court:** NORTHERN DISTRICT OF TEXAS

**Docket/Case #:** CR-4-83-173

**Charge Date:** 12/14/1984

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** VIOLATION OF A CONTROLLED SUBSTANCE

**No of Counts:** 1

**Felony or Misdemeanor:** Felony

**Plea for each charge:** GUILTY AS TO 1 COUNT

**Disposition of charge:** Pled guilty

**Current Status:** Final

**Status Date:** 12/14/1984

**Disposition Date:** 07/13/1988

**Sentence/Penalty:** THE FOLLOWING WAS TAKEN INTO CONSIDERATION DUE TO NEVER HAVING ANY PRIOR UNLAWFUL ACTIVITY. ORDERED TO SERVE 120 IN HALF-WAY HOUSE, WHICH WAS TERMINATED AFTER 90 DAYS DUE TO EXCELLANT BEHAVIOR AND PARTICIPATION. ORDERED TO SERVE FIVE YEARS PROBATION WHICH WAS TERMINATED AFTER THREE YEARS AND SEVEN MONTHS DUE TO EXCELLANT BEHAVIOR AND PARTICIPATION. (RESULTING FROM A LETTER OF RECOMMENDATION FROM U. S. PROBATION OFFICER GARY N. BENTON REQUESTING MY EARLY TERMINATION).

**Broker Statement** I AM EMBARRASSED AND UNFORTUNATELY REMINDED OF THIS DISGRACE THAT HAPPENED IN MY LIFE IN 1984 WHEN I AM ENCOURAGED TO ACQUIRE A NEW PROFESSIONAL LICENSE. I HAD ASSOCIATED MYSELF WITH A WRONG GROUP OF FOLKS WHICH RESULTED IN A CRIMINAL OFFENSE. I HAVE NEVER BEFORE THIS OFFENSE OR AFTER HAD ANY KIND OF CHALLENGE WITH ANYTHING UNLAWFUL. SINCE THEN I HAVE



HELD/ACQUIRED AND STILL HOLD A TEXAS GENERAL LINES AGENT LICENSE #708218 (EFFECTIVE SINCE 1980), TEXAS REAL ESTATE LICENSE #0528915 (EFFECTIVE 2004), AND TEXAS MORTGAGE BROKER LICENSE #51693 (EFFECTIVE 2005, SINCE EXPIRED). EVERY ONE OF THE THREE PREVIOUSLY MENTIONED LICENSES HAD INTENSE MORAL CHARACTER INVESTIGATIONS AND WERE ALL SATISFIED. SINCE THIS INCIDENT I HAVE BEEN GRANTED THE DISTINCT HONOR OF EXECUTIVE CLEMENCY WITH A FULL AND UNCONDITIONAL PARDON BY THE PRESIDENT OF THE UNITED STATES OF AMERICA.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Firm Name:** AE Wealth Management, LLC

**Termination Type:** Permitted to Resign

**Termination Date:** 07/13/2021

**Allegations:** Was permitted to resign due to a violation of the firm's policies and procedures.

**Product Type:** Other: unapproved private equity investment

**Broker Statement**

In February 2021, a client introduced me to a private equity investment opportunity. After personally researching this investment in great detail, I decided to invest for myself. Soon thereafter, I shared this investment with a few select clients that look for alternative investments, allowing them to decide for themselves if they wanted to participate. My misunderstanding was I didn't give my RIA notice for approval, which they deemed was a violation of company policy. This resulted in my firm resigning from them as an IAR, with intentions to become our own RIA. It's important to note there was never any financial gain from their participation and since all investors have since been refunded 100% of their initial investment. I understand the importance of company procedures, and I have no desire to recommend another alternative investment to another investor again unless previously approved.



## End of Report

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