IAPD Report

JEFFREY JAY GOLLEHON

CRD# 1212338

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JEFFREY JAY GOLLEHON (CRD# 1212338)

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 **01/05/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VIRTUE CAPITAL MANAGEMENT, LLC	CRD# 167816	04/19/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	HORTER INVESTMENT MANAGEMENT, LLC	119880	ABERDEEN, NC	12/23/2014 - 04/19/2018
IA	JG FINANCIAL CONSULTING	144201	ABERDEEN, NC	06/20/2007 - 12/01/2014
B	NEW ENGLAND SECURITIES	615	NEW YORK, NY	12/21/2000 - 06/14/2001

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	2
Investigation	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VIRTUE CAPITAL MANAGEMENT, LLC**

Main Address: 12 CADILLAC DR.
SUITE 280
BRENTWOOD, TN 37027

Firm ID#: 167816

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	04/19/2018

Branch Office Locations

VIRTUE CAPITAL MANAGEMENT, LLC
150 Magnolia Square Ct.
Aberdeen, NC 28315

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, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/06/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/19/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/04/1998

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	12/23/2014 - 04/19/2018	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	ABERDEEN, NC
IA	06/20/2007 - 12/01/2014	JG FINANCIAL CONSULTING	CRD# 144201	ABERDEEN, NC
B	12/21/2000 - 06/14/2001	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	10/20/1995 - 01/05/2001	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	10/09/1989 - 12/14/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	10/09/1989 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ
B	02/22/1984 - 01/12/1987	PRUCO SECURITIES CORPORATION	CRD# 5685	
B	11/15/1983 - 01/04/1984	FIRST INVESTORS CORPORATION	CRD# 305	

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
04/2018 - Present	Virtue Capital Management, LLC	Investment Adviser Representative	Y	BRENTWOOD, TN, United States
10/1995 - Present	JG Financial Consulting	Owner/Agent	Y	Aberdeen, NC, United States
12/2014 - 04/2018	HORTER INVESTMENT MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, 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) JG FINANCIAL CONSULTING , Title: OWNER/AGENT , Description: SALES AND SERVICE OF FIXED INSURANCE PRODUCTS - FIXED LIFE INSURANCE, FIXED ANNUITIES, UNDER AND OVER 65 HEALTH INSURANCE PRODUCTS., Start Date: 10-01-1995, Address: 150 MAGNOLIA SQUARE CT., ABERDEEN, NC 28315 , Investment-related? YES, Hours per

Registration & Employment History

OTHER BUSINESS ACTIVITIES

month: 80, During trading hours: 4

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	2
Investigation	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/06/2001
Docket/Case Number:	C8B010027
Employing firm when activity occurred which led to the regulatory action:	FORTIS INVESTORS, INC.
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE SOLD PROMISSORY NOTES TO PUBLIC CUSTOMERS AWAY FROM HIS MEMBER FIRM FOR COMPENSATION AND FAILED TO PROVIDE HIS MEMBER FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/06/2001

Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, AND ORDERED TO DISGORGE $1,200, PLUS INTEREST, TO PUBLIC CUSTOMERS. THE FINE IS DUE AND PAYABLE PRIOR TO REASSOCIATION WITH ANY NASD MEMBER FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT, WITH INTEREST, SHALL BE A PREREQUISITE PRIOR TO REASSOCIATION WITH ANY NASD MEMBER FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED DISGORGEMENT, PLUS INTEREST, SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. SUSPENSION EFFECTIVE DECEMBER 3, 2001 TO CLOSE OF BUSINESS JANUARY 31, 2002.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	DISGORGEMENT OF $1,200
Date Initiated:	12/03/2001
Docket/Case Number:	#C8B010027
Employing firm when activity occurred which led to the regulatory action:	FORTIS INVESTORS
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	MR. GOLLEHON IS ALLEGED TO HAVE SOLD PROMISSORY NOTES FOR COMPENSATION, TO PUBLIC CUSTOMERS AWAYF ROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECIEVE PERSMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/31/2002
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $1,200.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENSION FROM DEC. 3 2001 TO JAN. 31 2002.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	01/19/2001
Docket/Case Number:	01-044
Employing firm when activity occurred which led to the regulatory action:	FORTIS INVESTORS, INC.
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES.
Allegations:	SALE OF UNREGISTERED SECURITIES TO AN OHIO RESIDENT.
Current Status:	Final
Resolution:	Order
Resolution Date:	02/21/2001
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	N/A
Sanction Details:	N/ARESPON
Regulator Statement	RESPONDENT SOLD A PROMISSORY NOTE ISSUED BY LIFEBLOOD BIOMEDICAL, INC. IN VIOLATION OF O.R.C. SECTION 1707.44(C)(1) AND O.A.C. RULE 1301:6-3-19(A)(19).

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF OHIO - DEPARTMENT OF COMMERCE - DIV OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	02/21/2001
Docket/Case Number:	OHIO ORDER #01-044
Employing firm when activity occurred which led to the regulatory action:	FORTIS INVESTORS
Product Type:	Debt - Corporate
Other Product Type(s):	PROMISSORY NOTES
Allegations:	SALE OF UNREGISTERED SECURITIES - WAS INFORMED BY PROMOTER OF PROMISSORY NOTE THAT THESE WERE LEGALLY UNREGISTERED SECURITIES AND WAS PROVIDED WITH DOCUMENTATION TO SUPPORT

	THE REGISTRATION STATUS.
Current Status:	Final
Resolution:	Order
Resolution Date:	02/21/2001
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	CEASE SALE OF PROMISSORY NOTES.
Broker Statement	ISSUED CEASE & DESIST ORDER

Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	NASD
Notice Date:	04/06/2001
Details:	THE SALE OF PROMISSORY NOTES IN JANUARY 1998.

End of Report

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