



IAPD Report

KEITH MICHAEL GILLIES

CRD# 1250689

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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

KEITH MICHAEL GILLIES (CRD# 1250689)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	06/30/2006
IA	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	11/01/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	AMERITAS ADVISORY SERVICES	14869	Little Rock, AR	06/30/2006 - 11/01/2021
IA	CARILLON INVESTMENTS, INC	14646	LAPLACE, LA	10/11/2002 - 06/30/2006
B	CARILLON INVESTMENTS, INC.	14646	LAPLACE, LA	02/16/2000 - 06/30/2006

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	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 **29** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **AMERITAS INVESTMENT COMPANY, LLC**
Main Address: 5900 "O" STREET
LINCOLN, NE 68510-2234
Firm ID#: 14869

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/30/2006
B	FINRA	General Securities Representative	Approved	06/30/2006
B	Alabama	Agent	Approved	10/31/2007
B	Arkansas	Agent	Approved	01/03/2013
B	California	Agent	Approved	01/31/2017
B	Colorado	Agent	Approved	05/02/2023
B	Delaware	Agent	Approved	03/18/2019
B	District of Columbia	Agent	Approved	03/21/2017
B	Florida	Agent	Approved	06/08/2007
B	Georgia	Agent	Approved	01/31/2017
B	Idaho	Agent	Approved	04/12/2023
B	Illinois	Agent	Approved	01/07/2016
B	Indiana	Agent	Approved	02/07/2011



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	06/30/2006
B Massachusetts	Agent	Approved	04/26/2022
B Michigan	Agent	Approved	05/04/2023
B Minnesota	Agent	Approved	03/03/2026
B Mississippi	Agent	Approved	01/24/2007
B Missouri	Agent	Approved	04/19/2017
B Nebraska	Agent	Approved	06/28/2012
B Nevada	Agent	Approved	08/18/2020
B New York	Agent	Approved	08/26/2024
B North Carolina	Agent	Approved	09/29/2015
B Ohio	Agent	Approved	10/24/2007
B Pennsylvania	Agent	Approved	01/09/2020
B South Carolina	Agent	Approved	01/31/2017
B Tennessee	Agent	Approved	01/28/2025
B Texas	Agent	Approved	06/30/2006
B Virginia	Agent	Approved	01/31/2017
B Washington	Agent	Approved	04/26/2022
B Wyoming	Agent	Approved	05/22/2023

Branch Office Locations



Qualifications

AMERITAS ADVISORY SERVICES

610 BELLE TERRE BLVD
LAPLACE, LA 70068

AMERITAS ADVISORY SERVICES

3500 N CAUSEWAY BLVD STE 1500
METAIRIE, LA 70002

Employment 2 of 2

Firm Name: **AMERITAS ADVISORY SERVICES, LLC**

Main Address: 5900 O STREET
LINCOLN, NE 68510

Firm ID#: 317245

Regulator	Registration	Status	Date
IA Arkansas	Investment Adviser Representative	Approved	11/01/2021
IA Louisiana	Investment Adviser Representative	Approved	11/01/2021
IA Texas	Investment Adviser Representative	Approved	07/14/2023

Branch Office Locations

AMERITAS ADVISORY SERVICES, LLC

610 BELLE TERRE BLVD
LAPLACE, LA 70068

AMERITAS ADVISORY SERVICES, LLC

204 Executive Ct Ste 200
Little Rock, AR 72205

AMERITAS ADVISORY SERVICES, LLC

3500 N Causeway Blvd Ste 1500
Metairie, LA 70002



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/09/1995

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/19/1984

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1995

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	06/30/2006 - 11/01/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	Little Rock, AR
IA	10/11/2002 - 06/30/2006	CARILLON INVESTMENTS, INC	CRD# 14646	LAPLACE, LA
B	02/16/2000 - 06/30/2006	CARILLON INVESTMENTS, INC.	CRD# 14646	LAPLACE, LA
B	12/14/1994 - 02/23/2000	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	04/26/1988 - 01/12/1995	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	05/25/1984 - 05/03/1988	CNA INVESTOR SERVICES, INC.	CRD# 7360	

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
11/2021 - Present	AMERITAS ADVISORY SERVICES, LLC	IAR	Y	LINCOLN, NE, United States
01/2018 - Present	The Acacia Group	Member	Y	Metairie, LA, United States
11/2015 - Present	The AFP Group, LLC	Member	Y	Houston, TX, United States
01/2014 - Present	UNITED WEALTH ADVISORS GROUP, LLC	CHIEF EXECUTIVE OFFICER	Y	LAPLACE, LA, United States
03/2013 - Present	WEALTH SOLUTIONS, LLC	PRESIDENT	Y	LAPLACE, LA, United States
02/2013 - Present	THE PENSION CENTER, LLC	PARTNER	Y	LAPLACE, LA, United States
06/2006 - Present	AMERITAS INVESTMENT COMPANY, LLC	REGISTERED REPRESENTATIVE	Y	LINCOLN, NE, United States
06/2006 - Present	AMERITAS LIFE INSURANCE CORP.	LICENSED AGENT	Y	LINCOLN, NE, United States
04/2020 - 11/2022	Fountainhead Private Client	DBA	Y	Metairie, LA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2000 - 08/2017	RIVER PARISHES ADVISORS GROUP LLC	MANAGING PARTNER	Y	LAPLACE, 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.

Licensed as an Independent Insurance Agent to sell fixed insurance products * RP REAL ESTATE HOLDINGS, LLC; SAME AS BRANCH; NON-INV REL; BUSINESS OWNS THE BUILDING IN WHICH MY OFFICE IS HOUSED; MEMBER; START DATE=08/2005; HRS/MO=1; TRADING HRS/MO=0; OVERSEEING THE BUSINESS' FINANCIALS * THE PENSION CENTER, LLC; SAME AS BRANCH; INV REL; ENTITY USED TO OPERATE PENSION CENTER IN LITTLE ROCK, ARKANSAS; PARTNER; START DATE=2/2013; HRS/MO=20; TRADING HRS/MO=20; MANAGING AGENCY * WEALTH SOLUTIONS, LLC; SAME AS BRANCH; INV REL; AGENCY NAME; PRESIDENT; START DATE=3/2013; HRS/MO=20; TRADING HRS/MO=20; MANAGING THE AGENCY * UNITED WEALTH ADVISORS GROUP, LLC; SAME AS BRANCH; INV REL; THIS ENTITY HOLDS THE INSURANCE CONTRACTS FOR THE OPERATIONS OF WEALTH SOLUTIONS (KEITH GILLIES), WEALTH ADVISORS GROUP (MARK CECIL), UNITED PROFESSIONAL ADVISORS (KIM ALLEN)-ENTITY IS USED TO AFFILIATE OUR EXISTING BUSINESSES; CHIEF EXECUTIVE OFFICER; START DATE=01/2014; HRS/MO=5; TRADING HRS/MO=3; MANAGING THE NEGOTIATIONS OF CONTRACTS WITH INSURANCE COMPANIES AND THE MANAGEMENT AND ACQUISITION OF OTHER PRACTICES OF SIMILAR NATURE * ASHAR GROUP; SAME AS BRANCH; INV REL; IF A CLIENT WISHES TO LAPSE OR SURRENDER A NON-VUL CONTRACT, LIFE SETTLEMENT IS AN OPTION; AGENT; START DATE=07/2012; HRS/MO=1; TRADING HRS/MO=1; INTRODUCING THE CLIENT TO THE FIRM, ORGANIZING DOCUMENTS AND ASSISTING THE CLIENT WITH UNDERSTANDING THE PROCESS * The AFP Group, LLC; 602 Sawyer St Ste 120, Houston TX 77007; inv rel; insurance agency; member; start date=11/2015; hrs/mo=10; trading hrs/mo=8; general agent * Keith M Gillies; same as residence; non-inv rel; finished a book on success titled The 10 C's of Success-how to achieve success by looking at life as a journey; Owner; start date=07/2017; hrs/mo=2; trading hrs/mo=0; author-funding the project, but all proceeds go to charity (The Miracle League) * The Acacia Group; 3500 N Causeway Blvd Ste 830, Metairie LA 70001; inv rel; Ameritas agency; Member; start date=01/2018; hrs/mo=2; trading hrs/mo=2; wholly owned agency of United Wealth Advisors Group * Sallie Mae; 3500 N Causeway Blvd Ste 830, Metairie LA 70002; non-inv rel; referral agency to Sallie Mae for student loans (they will provide marketing and educational support to help people fund college); Marketing Partner; start date=06/2019; hrs/mo=5; trading hrs/mo=5; receive the funds from Sallie Mae based upon terms of agreement with Sallie Mae->Sallie Mae Funds segregated in our accounting system->offer scholarships to students with the provision that the grant will be made to the school for the student, or along rules the institution requires for such grants (scholarships will be awarded based upon financial need as well as merit based factors, disinterested parties will assist in awarding scholarships) * Skyfall Timber Holdings, LLC; same as branch; non-inv rel; 94-acre tract that I will operate as a tree farm/hunting property; Managing Member; start date=01/2021; hrs/mo=2; trading hrs/mo=0; overseeing the property with my two sons * Engaged Learning Strategies, Inc; non inv rel; 610 Belle Terre Blvd, La Place, LA 70068; Provide education resources to under-served and at-risk students; Officer; start date=08/2023; hrs/mo=5; trading hrs/mo=0; Serve as Secretary and add to the strategic planning for the group



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	1

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	THE ADVISORS GROUP
Allegations:	CUSTOMER ALLEGES THAT THEY WERE UNAWARE THAT THE POLICY WAS A MODIFIED ENDOWMENT CONTRACT
Product Type:	Other
Other Product Type(s):	VUL
Alleged Damages:	\$45,000.00

Customer Complaint Information

Date Complaint Received:	10/30/2003
Complaint Pending?	Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THE ADVISORS GROUP
Allegations:	CUSTOMER QUESTIONED THE "MODIFIED ENDOWMENT CONTRACT" STATUS ON THEIR POLICY.



Product Type: Insurance
Alleged Damages: \$45,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/30/2003
Complaint Pending? No
Status: Closed/No Action
Status Date: 08/16/2010
Settlement Amount:
Individual Contribution Amount:

Broker Statement

THE FIRM FOUND NO FAULT ON THE RR'S PART CONCERNING THIS COMPLAINT. THIS SITUATION WAS CORRECTED OUTSIDE THE FIRM THROUGH THE IRS "MEC CORRECTION" PROGRAM. THROUGH THIS PROGRAM, THE INSURER WAS ABLE TO DEMONSTRATE THAT THE POLICY WAS AN "INADVERTENT MEC" AND CHANGED STATUS TO "NON-MEC." THIS SATISFIED THE CLIENT'S CONCERNS AND THE ISSUE WAS DISSOLVED INDIRECTLY.



End of Report

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