



## IAPD Report

# RICHARD GORDON MOONEY III

CRD# 1557033

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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

### RICHARD GORDON MOONEY III (CRD# 1557033)

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 **08/25/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC	CRD# 142619	03/29/2007
<b>IA</b>	AMB WEALTH, LLC	CRD# 113106	02/23/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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
<b>IA</b>	ALLEN, MOONEY & BARNES INVESTMENT ADVISORS, LLC	113106	THOMASVILLE, GA	10/13/2004 - 12/31/2017
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	THOMASVILLE, GA	01/12/2001 - 04/24/2007
<b>B</b>	SHIELDS & COMPANY	11053	NEW YORK, NY	09/05/1989 - 02/12/2001

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

### Employment 1 of 2

Firm Name: **ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC**  
Main Address: 135 S. MADISON STREET  
THOMASVILLE, GA 31792  
Firm ID#: 142619

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	03/29/2007
	FINRA	General Securities Representative	Approved	03/29/2007
	FINRA	Investment Banking Representative	Approved	04/22/2010
	FINRA	Securities Trader	Approved	01/04/2016
	FINRA	Securities Trader Principal	Approved	01/28/2016
	FINRA	Investment Banking Principal	Approved	10/01/2018
	Alabama	Agent	Approved	06/18/2007
	Connecticut	Agent	Approved	09/15/2023
	Florida	Agent	Approved	05/07/2018
	Georgia	Agent	Approved	04/18/2007
	Illinois	Agent	Approved	05/09/2007
	Kentucky	Agent	Approved	01/21/2020
	Maryland	Agent	Approved	08/25/2022



## Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	02/07/2017
B	Virginia	Agent	Approved	04/30/2007

## Branch Office Locations

135 S. MADISON STREET  
THOMASVILLE, GA 31792

135 S MADISON STREET  
THOMASVILLE, GA 31792

## Employment 2 of 2

Firm Name: **AMB WEALTH, LLC**  
Main Address: 135 SOUTH MADISON STREET  
THOMASVILLE, GA 31792  
Firm ID#: 113106

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/27/2018
IA	Georgia	Investment Adviser Representative	Approved	02/23/2018
IA	South Carolina	Investment Adviser Representative	Approved	06/06/2023

## Branch Office Locations

**AMB WEALTH, LLC**  
135 SOUTH MADISON STREET  
THOMASVILLE, GA 31792



## 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, 5 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/24/2005

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	06/23/2008
B	General Securities Representative Examination (S7)	Series 7	09/20/1986

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/10/1986



### 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	10/13/2004 - 12/31/2017	ALLEN, MOONEY & BARNES INVESTMENT ADVISORS, LLC	CRD# 113106	THOMASVILLE, GA
B	01/12/2001 - 04/24/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	THOMASVILLE, GA
B	09/05/1989 - 02/12/2001	SHIELDS & COMPANY	CRD# 11053	NEW YORK, NY
B	05/16/1989 - 08/03/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	09/26/1986 - 05/16/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

### 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
12/2006 - Present	Allen, Mooney and Barnes Brokerage Services	Registered Representative	Y	Thomasville, GA, United States
10/2004 - Present	Allen, Mooney and Barnes Investment Advisors	Investment Adviser Representative	Y	Thomasville, GA, 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. BILL & EMILY SEARCY CHARITABLE TRUST--CO-TRUSTEE SINCE 2007--THIS IS A CHARITABLE TRUST SET UP UNDER THE WILLS OF BILL AND EMILY SEARCY. ABOUT 2 HOUR PER MONTH FOR DUTIES RELATED TO THIS TRUST.
2. CO-TRUSTEE OF ESTATE FOR SANDRA MOCK.
- 3.THOMASVILLE ENTERTAINMENT FOUNDATION ENDOWMENT TRUST-PERMANENT TRUSTEE-SUPPORTS THE THOMASVILLE ENTERTAINMENT FOUNDATION WHICH IS A GEORGIA NON-PROFIT ORGANIZATION; Non-investment related.
4. Licensed Insurance Agent: Non-variable insurance / investment related; 1 hour monthly and during market hours; Start date: 02/05/2008



## 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
Termination	1

### 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	SHIELDS & COMPANY
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	01/11/2001
<b>Allegations:</b>	INVESTIGATION INCLUDES MR. MOONEY &/OR ALLEN & MOONEY INVESTMENTS, INC (A NON REGISTERED FIRM IN WHICH MR. MOONEY OWNS A SUBSTANTIAL INTEREST)RECEIVING CERTAIN ADMINISTRATIVE OR TRUSTEE FEE PAYMENTS FROM A SHIELDS CUSTOMER WHICH WERE NOT PROPERLY DISCLOSED TO OR APPROVED BY SHIELDS. SHIELDS IS REVIEWING WHETHER MR. MOONEY VIOLATED FIRM POLICY BY CHARGING TO THE FIRM AS BUSINESS EXPENSES CERTAIN EXPENSES WHICH APPEAR TO BE PERSONAL IN NATURE AND WHETHER MR. MOONEY VIOLATED FIRM POLICY BY USING SHIELDS OFFICE AND COMPUTER SYSTEMS AND THE SERVICES OF ITS EMPLOYEES TO ESTABLISH A COMPETING BROKER/DEALER [OR AN OFFICE OF ANOTHER BROKER DEALER].
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	INTERNAL REVIEW INITIATED ON OR ABOUT 12/01/2000



## End of Report

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