



IAPD Report

JOHN PARKER RHODES

CRD# 1570758

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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

JOHN PARKER RHODES (CRD# 1570758)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CHARLES SCHWAB & CO., INC.	CRD# 5393	08/29/2019
IA	CHARLES SCHWAB & CO., INC.	CRD# 5393	09/03/2019

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **31** 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	INTEGRATED ADVISORS NETWORK LLC	171991	Augusta, GA	08/27/2018 - 08/16/2019
IA	AUGUSTA CAPITAL MANAGEMENT, LLC	164721	AUGUSTA, GA	08/14/2012 - 05/08/2019
IA	AUGUSTA CAPITAL INVESTORS, LLC	168607	AUGUSTA, GA	03/25/2014 - 08/06/2018

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
Judgment/Lien	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 **31** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CHARLES SCHWAB & CO., INC.**

Main Address: 425 MARKET STREET
17TH FLOOR
SAN FRANCISCO, CA 94105

Firm ID#: 5393

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/29/2019
B	FINRA	General Securities Sales Supervisor	Approved	12/20/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	08/29/2019
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/20/2019
B	Alabama	Agent	Approved	02/08/2022
B	Arizona	Agent	Approved	02/08/2022
B	Arkansas	Agent	Approved	01/22/2020
B	California	Agent	Approved	02/21/2020
B	Colorado	Agent	Approved	02/08/2022
B	District of Columbia	Agent	Approved	02/04/2020
B	Florida	Agent	Approved	01/22/2020
B	Georgia	Agent	Approved	08/30/2019
IA	Georgia	Investment Adviser Representative	Approved	09/03/2019



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	10/12/2020
B	Illinois	Agent	Approved	02/08/2022
B	Iowa	Agent	Approved	02/08/2022
B	Kansas	Agent	Approved	10/12/2020
B	Kentucky	Agent	Approved	09/21/2023
B	Louisiana	Agent	Approved	03/27/2025
B	Maine	Agent	Approved	05/24/2021
B	Massachusetts	Agent	Approved	02/08/2022
B	Missouri	Agent	Approved	02/04/2020
B	Montana	Agent	Approved	02/08/2022
B	New Jersey	Agent	Approved	02/08/2022
B	New York	Agent	Approved	05/18/2020
B	North Carolina	Agent	Approved	10/12/2020
B	Ohio	Agent	Approved	07/21/2020
B	Pennsylvania	Agent	Approved	10/18/2022
B	South Carolina	Agent	Approved	09/03/2019
B	Tennessee	Agent	Approved	02/04/2020
B	Texas	Agent	Approved	01/22/2020
IA	Texas	Investment Adviser Representative	Approved	01/12/2022



Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	02/22/2021
B	Virginia	Agent	Approved	10/12/2020
B	Washington	Agent	Approved	05/18/2020
B	West Virginia	Agent	Approved	03/18/2022
B	Wyoming	Agent	Approved	10/12/2020

Branch Office Locations

CHARLES SCHWAB & CO., INC.
630 Crane Creek Drive
Suite 305
Augusta, GA 30907



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 2 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/20/2019
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/26/2019

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	08/29/2019
	Securities Industry Essentials Examination (SIE)	SIE	08/02/2019
	General Securities Representative Examination (S7)	Series 7	08/05/1996
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/18/1986

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	08/17/2019
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/11/1997
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/17/1996



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	08/27/2018 - 08/16/2019	INTEGRATED ADVISORS NETWORK LLC	CRD# 171991	Augusta, GA
IA	08/14/2012 - 05/08/2019	AUGUSTA CAPITAL MANAGEMENT, LLC	CRD# 164721	AUGUSTA, GA
IA	03/25/2014 - 08/06/2018	AUGUSTA CAPITAL INVESTORS, LLC	CRD# 168607	AUGUSTA, GA
IA	04/21/2011 - 08/06/2018	AP WEALTH MANAGEMENT	CRD# 156417	AUGUSTA, GA
B	04/20/2011 - 07/13/2012	LPL FINANCIAL LLC	CRD# 6413	AUGUSTA, GA
IA	01/19/2010 - 08/16/2011	(DBA) MCMANUS & SINCLAIR WEALTH MANAGEMENT, LLC	CRD# 127188	AUGUSTA, GA
B	10/18/2007 - 01/31/2009	AG BD LLC	CRD# 23122	NEW YORK, NY
B	04/28/2004 - 10/25/2005	REFCO SECURITIES, LLC	CRD# 14094	NEW YORK, NY
B	08/06/1996 - 03/18/2004	CREDIT SUISSE ASSET MANAGEMENT SECURITIES, INC.	CRD# 15654	NEW YORK, NY
B	12/19/1986 - 11/13/1992	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
08/2019 - Present	Charles Schwab & Co., Inc.	Independent Branch Leader	Y	Augusta, GA, United States
08/2018 - 08/2019	INTEGRATED ADVISORS NETWORK, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	PALOS VERDES ESTATES, CA, United States
07/2013 - 08/2018	AUGUSTA CAPITAL INVESTORS	CHIEF COMPLIANCE OFFICER, MANAGING MEMBER	Y	AUGUSTA, GA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2011 - 08/2018	AP WEALTH MANAGEMENT, LLC	CHIEF INVESTMENT OFFICER	Y	AUGUSTA, GA, United States
01/2008 - 08/2018	AUGUSTA CAPITAL MANAGEMENT, LLC	MANAGING MEMBER	Y	AUGUSTA, 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) Berckmans Hospitality Group, LLC | Investment Related:No|2715 Butler Place|Augusta|GA|30909|USA|Real Estate (Non-Agent/Broker)|Owner|10/15/2010|Less than 20|0|BHG is a non-operating entity that simply is the owner of a residential real estate property that my special-needs brother occupies. He maintains the property in exchange for living there rent-free. I own the property for long term appreciation but do not have any involvement other than ensuring my brother has a residence., 2) Augusta Capital Partners, LLC | Investment Related:No|2917 River West Drive, Suite 302|Augusta|GA|30907|USA|Real Estate (Non-Agent/Broker)|owner|12/4/2007|Less than 20|0|pay annual property tax, 3) Melton E Rhodes Jr Enterprises Partnership | Investment Related:Yes|3205 Candace Dr|Augusta|GA|30909|USA|Financial Services|Limited Partner|4/1/2016|Less than 20|1|Father formed Family LP years ago. He owns 97% as GP and granted 1% to each of 3 grown children. I have been uninvolved until last month when he completed "Update your Org Acct" APP70337 naming me as an authorized agent because at 87 he has decided to delegate investment decisions to me



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
Judgment/Lien	2

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Georgia
Judgment/Lien Amount:	\$95,472.72
Judgment/Lien Type:	Tax
Date Filed with Court:	06/28/2022
Date Individual Learned:	08/19/2022
Type of Court:	State Court
Name of Court:	State of Georgia
Location of Court:	Richmond, GA
Docket/Case #:	BK69PG8600
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Georgia
Judgment/Lien Amount:	\$103,505.09
Judgment/Lien Type:	Tax
Date Filed with Court:	06/28/2022
Date Individual Learned:	08/19/2022
Type of Court:	State Court
Name of Court:	State of Georgia
Location of Court:	Richmond, GA



Docket/Case #:	BK69PG8595
Judgment/Lien Outstanding?	Yes



End of Report

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