IAPD Report

PETER SVEND TYCHSEN

CRD# 1653316

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

PETER SVEND TYCHSEN (CRD# 1653316)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	07/16/2025

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	GIBBS WEALTH MANAGEMENT, LLC	281621	Tallahassee, FL	08/31/2022 - 12/19/2025
IA	BROOKSTONE WEALTH ADVISORS, LLC	137658	TALLAHASSEE, FL	08/08/2014 - 09/08/2022
IA	BROOKSTONE CAPITAL MANAGEMENT LLC	141413	TALLAHASSEE, FL	10/06/2021 - 12/09/2021

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

Employment 1 of 1

Firm Name:	**AE WEALTH MANAGEMENT, LLC**
Main Address:	2950 SW MCCLURE ROAD SUITE B TOPEKA, KS 66614
Firm ID#:	282580

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/16/2025

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
1695 Metropolitan Circle
Suite 1
Tallahassee, FL 32308

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	06/06/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/11/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/15/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	08/31/2022 - 12/19/2025	GIBBS WEALTH MANAGEMENT, LLC	CRD# 281621	Tallahassee, FL
IA	08/08/2014 - 09/08/2022	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	TALLAHASSEE, FL
IA	10/06/2021 - 12/09/2021	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	TALLAHASSEE, FL
IA	09/26/2013 - 08/06/2014	ONPOINTE ADVISORY AND FINANCIAL SERVICES, LLC	CRD# 162143	TALLAHASSEE, FL
IA	12/20/2011 - 09/03/2013	GRADIENT ADVISORS, LLC	CRD# 152665	TALLAHASSEE, FL
IA	01/09/2008 - 12/20/2011	AMERICAN INVESTMENT SERVICES	CRD# 144088	TALLAHASSEE, FL
B	10/05/2006 - 04/20/2007	WORKMAN SECURITIES CORPORATION	CRD# 31898	TALLAHASSEE, FL
B	12/12/2000 - 10/11/2006	AMERITAS INVESTMENT CORP.	CRD# 14869	TALLAHASSEE, FL
IA	12/12/2000 - 12/31/2002	AMERITAS INVESTMENT CORP	CRD# 14869	TALLAHASSEE, FL
B	05/03/1999 - 01/03/2001	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	06/07/1996 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	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
12/2025 - Present	National Retirement Foundation	Educator	N	Minneapolis, MN, United States
07/2025 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADIVSER REPRESENTATIVE	Y	TOPEKA, KS, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	MONROE COMMERICAL, LLC	50% OWNER	Y	TALLAHASSEE, FL, United States
04/2023 - Present	SOFA (Society of Financial Advisors)	Instructor	Y	San Diego, CA, United States
02/2023 - Present	Association of Financial Consultants	Educator	Y	Longwood, FL, United States
01/2016 - Present	BROOK TROUT, LLC	OWNER	Y	TALLAHASSEE, FL, United States
01/2016 - Present	GENEVA HOMES	OWNER	Y	TALLAHASSEE, FL, United States
12/2015 - Present	ST Homes 123, LLC	PARTIAL OWNER	Y	TALLAHASSEE, FL, United States
01/2014 - Present	BIG BEND HOMES, LLC	OWNER	Y	TALLAHASSEE, FL, United States
02/2000 - Present	PRESERVATION FINANCIAL GROUP	OWNER	Y	TALLAHASSEE, FL, United States
08/2022 - 07/2025	GIBBS WEALTH MANAGEMENT, LLC	FINANCIAL ADVISOR	Y	TALLAHASSEE, FL, United States
08/2014 - 09/2022	BROOKSTONE WEALTH ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TALLAHASSEE, 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.

BIG BEND HOMES, LLC; NON INVESTMENT RELATED; 1695 METROPOLITAN CIR., STE. 1, TALLAHASSEE, FL 32308; REAL ESTATE; OWNER; STARTED 01/2014; 2 HOURS/MONTH DEVOTED; 2 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; BUY, SELL AND MANAGE REAL ESTATE RENTAL PROPERTIES.

BROOK TROUT LLC; NON INVESTMENT RELATED; 1695 METROPOLITAN CIR., STE. 1, TALLAHASSEE, FL 32308; REAL ESTATE; OWNER; STARTED 01/2016; 1 HOURS/MONTH DEVOTED; 1 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; BUY, SELL AND MANAGE REAL ESTATE RENTAL PROPERTIES.

GENEVA HOMES; NON INVESTMENT RELATED; 1695 METROPOLITAN CIR., STE. 1, TALLAHASSEE, FL 32308; REAL ESTATE; OWNER; STARTED 01/2016; 1 HOURS/MONTH DEVOTED; 1 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; BUY, SELL AND MANAGE REAL ESTATE RENTAL PROPERTIES.

PRESERVATION FINANCIAL; INVESTMENT RELATED; 1695 METROPOLITAN CIR., STE. 1, TALLAHASSEE, FL 32308; INSURANCE AND INVESTMENT ADVISORY; STARTED 02/2000; 170 HOURS/MONTH DEVOTED; 140 HOURS/ MONTH DEVOTED DURING SECURITIES TRADING HOURS; OFFER SALE OF INSURANCE PRODUCTS AND INVESTMENT

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADVISORY SERVICES.

ST HOMES 123, LLC; NON INVESTMENT RELATED; 1695 METROPOLITAN CIR., STE. 1, TALLAHASSEE, FL 32308; REAL ESTATE; PARTIAL OWNER; STARTED 12/2015; 2 HOURS/MONTH DEVOTED; 2 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; BUY, SELL AND MANAGE REAL ESTATE RENTAL PROPERTIES.

MONROE COMMERCIAL, LLC; NON INVESTMENT RELATED; 1695-1 METROPOLITAN CIRCLE, TALLAHASSEE, FL 32308; LLC HOLDS COMMERICAL INVESTMEN TREAL ESTATE. 7 UNITS IN COMMERICAL PROPERTY; 50% OWNER; 1/25; 2 HOURS/MONTH; 2 HOURS/MONTH DURING TRADING; HELPS MANAGE RENTAL UNITS.

ASSOCIATION OF FINANCIAL CONSULTANTS
POSITION: Educator NATURE: Financial Advisor that gives educational workshops INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 02/01/2023
ADDRESS: 2973 W State Rd 434, Ste 300, Longwood FL 32779, United States
DESCRIPTION: I am a Licensed Financial Advisor that gives educational only workshops under this name. We offer a complimentary visit at our office to attendees if they would like one. This is an educational class only. No Selling. Clear, upfront, and educational only.

SOFA (SOCIETY OF FINANCIAL ADVISORS)
POSITION: Instructor NATURE: SOFA (Society of Financial Advisors). As an instructor, I do educational only classes to the general public at Libraries and or Community Centers. They are educational only workshops and we do offer a complimentary meeting after the class if they would like some help. There is NO Selling at these workshops. Educational only. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 04/10/2023
ADDRESS: 3655 Ruffin Rd Suite 230, San Diego CA 92123, United States
DESCRIPTION: SOFA (Society of Financial Advisors). As an instructor, I do educational only classes to the general public at Libraries and or Community Centers. They are educational only workshops and we do offer a complimentary meeting after the class if they would like some help. There is NO Selling at these workshops. Educational only.

NATIONAL RETIREMENT FOUNDATION
POSITION: Educator NATURE: I am a Financial Advisor that gives educational only workshops under this name. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 12/18/2025
ADDRESS: 4550 West 77th Street, Minneapolis MN 55435, United States
DESCRIPTION: educational only workshops under this name.

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
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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/14/2009
Docket/Case Number:	0287-S-8/06
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	AMERITAS INVESTMENT CORP.
Product Type:	No Product
Allegations:	FAILIED TO UPDATE UNIFORM APPLICATION FORM U-4; CONDUCTED SALES SEMINARS, DISTRIBUTED SALES AND ADVERTISING LITERATURE, AND MAINTAINED PERSONAL E-MAIL ACCOUNTS WTIHOUT OBTAINING APPROVAL FROM EMPLOYING FIRM.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	04/14/2009
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/14/2009
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	ON 4/14/2009, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF PETER S. TYCHSEN. MR. TYCHSEN ADMITS TO AND AGREES TO THE ENTRY OF THE FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT TYSCHSEN FAILED TO UPDATE HIS UNIFORM APPLICATION FORM U-4; AND CONDUCTED SALES SEMINARS, DISTRIBUTED SALES AND ADVERTISING LITERATURE, AND MAINTAINED TWO PERSONAL E-MAIL ACCOUNTS WITHOUT APPROVAL FROM HIS EMPLOYING FIRM. MR. TYCHSEN AGREED TO CEASE AND DESIST FROM ANY VIOLATIONS OF THE PROVISIONS OF CHAPT 517, F.S. AND PAID AN ADMINISTRATIVE FINE OF $7,500.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Other: STIPULATION AND CONSENT AGREEMENT
Date Initiated:	07/24/2006
Docket/Case Number:	0287-S-8/06
Employing firm when activity occurred which led to the regulatory action:	AMERITAS INVESTMENT CORP
Product Type:	No Product
Allegations:	ADMINSTRATIVE ACTION BY STATE - NOT PRODUCT RELATED. DURING STATE BRANCH AUDIT IT WAS FOUND THAT MR. TYCHSEN FAILED TO KEEP ACCURATE APPROVED EMAIL ADDRESSES W/BROKER DEALER. ADDITIONALLY, MR. TYCHSEN FAILED TO REQUEST AN UPDATED APPROVAL ON SEMINAR THAT HAD BEEN UPDATED FOR CURRENT USE.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	04/14/2009
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	ALTHOUGH DURING AUDIT THERE WAS NO SPECIFIC FINDINGS GIVEN TO MR. TYCHSEN, AFTER REVIEW AND CONSIDERATION BY THE STATE OF FLORIDA, THEY SETTLED AS ADMINISTRATIVE ACTION WITH NO ASSOCIATED CLIENT COMPLAINTS RECEIVED.

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:	Firm
Firm Name:	AMERITAS INVESTMENT CORP
Termination Type:	Voluntary Resignation
Termination Date:	10/10/2006
Allegations:	FAILURE TO FOLLOW POLICES & PROCEDURES
Product Type:	Other
Other Product Types:	ADVERTISING
Firm Statement	RR AFFILIATED WITH ANOTHER B/D WHILE UNDER REVIEW BY STATE OF FL DEPT OF FINANCIAL REGULATION & AMERITAS INVESTMENT CORP

Reporting Source:	Individual
Firm Name:	AMERITAS INVESTMENT CORP
Termination Type:	Voluntary Resignation
Termination Date:	10/10/2006
Allegations:	NONE - U5 MENTIONS INVESTIGATION BY FLORIDA DEPARTMENT OF FINANCIAL REGULATION
Product Type:	No Product
Other Product Types:	GENERAL AUDIT OF SECURITIES FILES
Broker Statement	FLORIDA DEPARTMENT OF FINANCIAL REGULATION CAME IN FOR A RANDOM INVESTIGATION - LOOKED AT FILES AND STATED THAT THEY DID NOT FIND ANYTHING IMPROPER OTHER THAN MINOR RECORD KEEPING. SPENT ONE WEEK IN OFFICE.

End of Report

This page is intentionally left blank.