



IAPD Report

PAUL PATRICK WINKLER

CRD# 1966712

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

PAUL PATRICK WINKLER (CRD# 1966712)

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 **07/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PAUL WINKLER, INC.	CRD# 119342	06/04/2004

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **25** 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	INTERVEST INTERNATIONAL EQUITIES CORPORATION	20289	COLORADO SPRINGS, CO	12/20/2001 - 03/20/2002
B	RICHARD B. VANCE & COMPANY	3656	JOLIET, IL	06/23/1999 - 12/20/2001
B	FFP SECURITIES, INC.	16337	CHESTERFIELD, MO	05/19/1998 - 07/12/1999

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



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

Employment 1 of 1

Firm Name: **PAUL WINKLER, INC.**
Main Address: 3050 BUSINESS PARK CIRCLE
SUITE 503
GOODLETTSVILLE, TN 37072
Firm ID#: 119342

Regulator	Registration	Status	Date
IA Alabama	Investment Adviser Representative	Approved	11/07/2019
IA Arizona	Investment Adviser Representative	Approved	06/12/2018
IA Arkansas	Investment Adviser Representative	Approved	01/31/2022
IA California	Investment Adviser Representative	Approved	06/18/2015
IA Colorado	Investment Adviser Representative	Approved	04/22/2024
IA Connecticut	Investment Adviser Representative	Approved	04/22/2024
IA Florida	Investment Adviser Representative	Approved	07/27/2018
IA Georgia	Investment Adviser Representative	Approved	08/10/2018
IA Indiana	Investment Adviser Representative	Approved	05/08/2024
IA Kentucky	Investment Adviser Representative	Approved	07/09/2008
IA Louisiana	Investment Adviser Representative	Approved	08/23/2021
IA Michigan	Investment Adviser Representative	Approved	07/17/2018
IA Mississippi	Investment Adviser Representative	Approved	10/20/2021



Qualifications

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	05/17/2024
IA Nebraska	Investment Adviser Representative	Approved	04/22/2024
IA New York	Investment Adviser Representative	Approved	04/22/2024
IA North Carolina	Investment Adviser Representative	Approved	04/14/2020
IA Pennsylvania	Investment Adviser Representative	Approved	04/22/2024
IA South Carolina	Investment Adviser Representative	Approved	04/25/2024
IA Tennessee	Investment Adviser Representative	Approved	06/04/2004
IA Texas	Investment Adviser Representative	Approved	06/05/2009
IA Utah	Investment Adviser Representative	Approved	04/23/2024
IA Virginia	Investment Adviser Representative	Approved	01/28/2022
IA Washington	Investment Adviser Representative	Approved	06/13/2024
IA Wisconsin	Investment Adviser Representative	Approved	09/28/2016

Branch Office Locations

PAUL WINKLER, INC.
3050 BUSINESS PARK CIRCLE
SUITE 503
GOODLETTSVILLE, TN 37072



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7)	Series 7	08/24/1998
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/01/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/01/1989

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
B	12/20/2001 - 03/20/2002	INTERVEST INTERNATIONAL EQUITIES CORPORATION	CRD# 20289	COLORADO SPRINGS, CO
B	06/23/1999 - 12/20/2001	RICHARD B. VANCE & COMPANY	CRD# 3656	JOLIET, IL
B	05/19/1998 - 07/12/1999	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	01/26/1993 - 05/26/1998	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	05/20/1992 - 01/26/1993	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	09/05/1989 - 02/10/1992	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	09/05/1989 - 02/10/1992	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
10/2000 - Present	PAUL WINKLER, INC.	INVESTMENT COACH, PRESIDENT, FOUNDER	Y	GOODLETTSVILLE, TN, 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) Book Author, Investment Related content in books, Goodlettsville, TN, Author, 0 hours per month devoted, 0 hours per month devoted during securities trading, Write investment related books for educational content
- 2) The Babb Center, Not Investment Related, 105 Music Village Blvd, Hendersonville, TN 3707, A counseling center that provides therapy to clients, Therapist, 05/08/2023, approximately 28 hours devoted per month, conduct payroll and act as a therapist to clients of the counseling center.
- 3) Board of Trustees Trevecca University, Not Investment Related, 333 Murfreesboro Pike Nashville, TN 37210, 05/2023, Serves on the board and is involved with numerous committees in this capacity.



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

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:	Individual
Regulatory Action Initiated By:	ALABAMA SECURITIES COMMISSION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: CONSENT AGREEMENT
Date Initiated:	11/07/2019
Docket/Case Number:	CA-2019-0036
Employing firm when activity occurred which led to the regulatory action:	PAUL WINKLER INC.
Product Type:	Other: INVESTMENT ADVISORY SERVICES
Allegations:	INADVERTENTLY EXCEEDED DE MINIMIS STANDARD FOR OPERATING IN STATE OF ALABAMA WITHOUT INV ADVISOR LICENSE. SETTLED; \$2,120.00 AS PARTIAL REIMBURSEMENT TO THE ALABAMA SECURITIES COMMISSION AND \$60,834.43 AS ADMINISTRATIVE FEE TO THE STATE OF ALABAMA PAID TO SETTLE MATTER; ACCEPTED FOR LICENSURE. MATTER RESOLVED.
Current Status:	Final
Resolution:	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:	11/07/2019



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$62,954.43

Portion Levied against individual: \$0.00

Payment Plan: PAID IN FULL

Is Payment Plan Current: Yes

Date Paid by individual: 11/06/2019

Was any portion of penalty waived? No

Amount Waived:

Broker Statement UNINTENTIONAL; SELF REPORTED TO CORRECT.



End of Report

This page is intentionally left blank.