



## IAPD Report

### JOHN EDWARD LEVEE

CRD# 2022567

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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

### JOHN EDWARD LEVEE (CRD# 2022567)

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 **04/29/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RIA WEALTH ADVISORS, LLC	CRD# 312072	02/15/2023
B	ARKADIOS CAPITAL	CRD# 282710	04/29/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	DIVERSIFY ADVISORY SERVICES, LLC	326060	Round Rock, TX	02/25/2025 - 04/29/2025
B	DFPG INVESTMENTS, LLC	155576	Round Rock, TX	07/10/2015 - 04/29/2025
IA	RIA ADVISORS	150661	Round Rock, TX	01/02/2020 - 07/20/2023

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

#### Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**

Main Address: 2827 PEACHTREE RD NE, SUITE 510  
ATLANTA, GA 30305

Firm ID#: 282710

Regulator	Registration	Status	Date
 FINRA	Direct Participation Programs	Approved	04/29/2025
 FINRA	Invest. Co and Variable Contracts	Approved	04/29/2025
 FINRA	Investment Co./Variable Contracts Prin	Approved	04/29/2025
 Arizona	Agent	Approved	04/29/2025
 Arkansas	Agent	Approved	04/29/2025
 California	Agent	Approved	04/29/2025
 Colorado	Agent	Approved	04/29/2025
 Florida	Agent	Approved	04/29/2025
 Illinois	Agent	Approved	05/06/2025
 Indiana	Agent	Approved	04/29/2025
 Louisiana	Agent	Approved	04/29/2025
 Massachusetts	Agent	Approved	04/29/2025
 Michigan	Agent	Approved	04/29/2025



## Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	04/30/2025
B Missouri	Agent	Approved	04/29/2025
B Montana	Agent	Approved	04/29/2025
B New Jersey	Agent	Approved	04/29/2025
B New Mexico	Agent	Approved	04/29/2025
B New York	Agent	Approved	04/29/2025
B Oklahoma	Agent	Approved	04/29/2025
B Pennsylvania	Agent	Approved	04/29/2025
B South Carolina	Agent	Approved	04/29/2025
B South Dakota	Agent	Approved	04/29/2025
B Texas	Agent	Approved	04/29/2025
B Virginia	Agent	Approved	04/29/2025
B Washington	Agent	Approved	04/29/2025
B Wisconsin	Agent	Approved	04/29/2025

## Branch Office Locations

310 W Main Street  
Suite 100  
Round Rock, TX 78664

## Employment 2 of 2

Firm Name: **RIA WEALTH ADVISORS, LLC**  
Main Address: 310 WEST MAIN AVENUE  
ROUND ROCK, TX 78664



## Qualifications

Firm ID#: 312072

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	02/15/2023

## Branch Office Locations

### RIA WEALTH ADVISORS, LLC

310 W Main St. Ave  
Round Rock, TX 78664



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

#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/15/1996

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Corporate Securities Limited Representative Examination (S62)	Series 62	06/15/1995
 Direct Participation Programs Representative Examination (S22)	Series 22	11/03/1993
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/03/1990

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/28/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/1990

### 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	02/25/2025 - 04/29/2025	DIVERSIFY ADVISORY SERVICES, LLC	CRD# 326060	Round Rock, TX
B	07/10/2015 - 04/29/2025	DFPG INVESTMENTS, LLC	CRD# 155576	Round Rock, TX
IA	01/02/2020 - 07/20/2023	RIA ADVISORS	CRD# 150661	Round Rock, TX
IA	09/18/2015 - 01/02/2020	INTEGRATED ADVISORS NETWORK LLC	CRD# 171991	PALOS VERDES ESTAT CA
IA	01/03/2007 - 07/16/2015	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	ROUND ROCK, TX
B	05/30/2008 - 07/13/2015	FIRST ALLIED SECURITIES, INC.	CRD# 32444	ROUND ROCK, TX
B	03/18/1993 - 05/30/2008	FFP SECURITIES, INC.	CRD# 16337	ROUND ROCK, TX
IA	03/18/1993 - 01/03/2007	FFP ADVISORY SERVICES INC	CRD# 110778	ROUND ROCK, TX
B	04/05/1990 - 05/20/1991	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	DULUTH, GA

### 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
04/2025 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
01/2020 - Present	RIA ADVISORS	Investment Advisor Representative	Y	HOUSTON, TX, United States
11/2005 - Present	LEVEE UNLIMITED, INC.,ADVANCED WEALTH STRATEGIES	D/B/A PRESIDENT	Y	ROUND ROCK, TX, United States
11/2005 - Present	LEVEE UNLIMITED,INC. THE ADVANCED GROUP OF COMPANIES	D/B/A PRESIDENT	Y	ROUND ROCK, TX, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2005 - Present	ADVANCE LEGACY	MEMBER/ADVISOR	N	ROUND ROCK, TX, United States
01/2005 - Present	STA CAPITAL MANAGEMENT LLC/FFP ADVISORY SERVICES, INC	MANAGING PARTNER	Y	ROUND ROCK, TX, United States
10/1992 - Present	SOUTHERN TRUST ASSOCIATES	D/B/A AND PRESIDENT	N	AUSTIN, TX, United States
07/2015 - 04/2025	DFPG INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	SOUTH JORDAN, UT, United States
07/2015 - 01/2020	INTEGRATED ADVISORS NETWORK LLC	Advisor	Y	Round Rock, TX, 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. Animas Capital Management; Investment Related; Round Rock, TX ; DBA; President/Financial Advisor; 11/2014; 40% during business hours; Meet with clients/ develop strategies to help them meet their financial goals/implement strategies/ongoing meetings to monitor progress and make necessary changes if required. Manage assets under RIA agreement.
2. Advanced Wealth Strategies Group; Investment Related; Round Rock, TX; DBA; President, Financial Advisor; 05/2000; 40% during business hours; Meet with clients, develop strategies
3. John E Levee; Non-Investment Related; Round Rock, TX; Author; 01/2015; 10% during business hours; Author books
4. Real Majesty LLC; Non-Investment Related; Round Rock, TX; LLC; Managing Member; 01/2013; 5% during business hours; Manage Office Building
5. Xtra Thin/LMJ Consulting LLC; Non-Investment Related; Round Rock, TX; Weight Loss Practice; Member; 08/2012; 5% during business hours; No day to day activity, business is taken care of by daughter, 50% member
6. John E Levee and Laurie Levee Living Trust; Non-Investment Related; Round Rock, TX; Trust; Co-Trustee; 11/2008; 0% during business hours; Manage trust owned real estate, co-trustee
7. STA Capital LLC DBA Advanced Capital Management; Non-Investment Related; Round Rock, TX; Third Party Manager; Managing Partner; 01/2005; 20% during business hours; Oversee operations/Portfolio management as a third party manager/ Market research and monitoring/ Portfolio design and implementation/ Portfolio monitoring
8. Vineyard Advance Wealth LLC; Non-Investment Related; Round Rock, TX; Holding Company; Managing Partner; 11/2014; 10% during business hours; Managing partner. Conduct business related functions. Holding Company.
9. Levee Unlimited Inc; Non-Investment Related; Round Rock, TX; Holding Company; President; 5/2000; 5% during business hours; Manage and oversee business activities, holding company, C Corp



## 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	2

### 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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FFP SECURITIES, INC.
Allegations:	NEGLECT AND MARKET LOSS
Product Type:	Other
Other Product Type(s):	VUL
Alleged Damages:	\$51,203.00

#### Customer Complaint Information

Date Complaint Received:	07/14/2005
Complaint Pending?	No
Status:	Denied
Status Date:	07/21/2005
Settlement Amount:	

#### Individual Contribution Amount:

#### Disclosure 2 of 2

Reporting Source:	Individual
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**Employing firm when activities occurred which led to the complaint:** FFP SECURITIES, INC.

**Allegations:** ALLEGES REPS STATEMENTS ABOUT INVESTMENTS HAVE NOT BEEN FACTUAL AND ARE MISLEADING.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$42,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 05/12/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/24/2001

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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