



IAPD Report

SAMUEL BRUCE PHILLIPS JR

CRD# 2239471

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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

SAMUEL BRUCE PHILLIPS JR (CRD# 2239471)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPE INVESTMENT ADVISORY, INC.	CRD# 146384	07/07/2016
B	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	CRD# 7388	01/06/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	CAPE SECURITIES INC.	7072	MCDONOUGH, GA	07/07/2016 - 02/03/2026
B	AMERICAN GLOBAL WEALTH MANAGEMENT, 7388 INC.		MCDONOUGH, GA	07/30/2020 - 11/18/2021
IA	AMERITAS INVESTMENT CORP	14869	COVINGTON, GA	11/18/2004 - 07/29/2016

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

Employment 1 of 2

Firm Name: **AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**

Main Address: 1600 PENNSYLVANIA AVE.
MCDONOUGH, GA 30253

Firm ID#: 7388

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	01/06/2026
	Alabama	Agent	Approved	02/12/2026
	Arkansas	Agent	Approved	02/11/2026
	Florida	Agent	Approved	04/06/2026
	Georgia	Agent	Approved	02/11/2026
	North Carolina	Agent	Approved	03/04/2026
	Virginia	Agent	Approved	02/12/2026
	Washington	Agent	Approved	07/16/2026

Branch Office Locations

1600 Pennsylvania Avenue
McDonough, GA 30253

Employment 2 of 2

Firm Name: **CAPE INVESTMENT ADVISORY, INC.**

Main Address: 1600 PENNSYLVANIA AVE.
MCDONOUGH, GA 30253

Firm ID#: 146384



Qualifications

Regulator	Registration	Status	Date
 Georgia	Investment Adviser Representative	Approved	09/05/2017

Branch Office Locations

CAPE INVESTMENT ADVISORY, INC.
1600 PENNSYLVANIA AVE.
MCDONOUGH, GA 30253



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/02/1997

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/28/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/10/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/08/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/15/1993

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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
B	07/07/2016 - 02/03/2026	CAPE SECURITIES INC.	CRD# 7072	MCDONOUGH, GA
B	07/30/2020 - 11/18/2021	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	CRD# 7388	MCDONOUGH, GA
IA	11/18/2004 - 07/29/2016	AMERITAS INVESTMENT CORP	CRD# 14869	COVINGTON, GA
B	07/27/2004 - 07/29/2016	AMERITAS INVESTMENT CORP.	CRD# 14869	COVINGTON, GA
IA	09/25/2003 - 07/02/2004	ING FINANCIAL PARTNERS, INC	CRD# 2882	CONYERS, GA
B	09/17/2003 - 07/02/2004	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
IA	01/29/2003 - 10/17/2003	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	CONYERS, GA
B	05/11/1993 - 10/17/2003	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN

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
01/2026 - Present	American Global Wealth Management	Registered Representative	Y	McDonough, GA, United States
06/2016 - Present	Cape Securities, Inc.	Reg Rep	Y	McDonough, GA, United States
09/2011 - Present	RETIREMENT & WEALTH STRATEGIES	OWNER	Y	COVINGTON, 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) RETIREMENT & WEALTH STRATEGIES - AN UNREGISTERED DBA; FINANCIAL RELATED; SELLING INSURANCE AND INSURANCE BASED PRODUCTS SUCH AS FIXED ANNUITIES, LONG TERM CARE AND LIFE INSURANCE, 40 HOURS PER MONTH; START DATE=09/2011
- 2) PHOENIX PASS AN ADVOCACY AND INTERVENTION LIFE TRAINING FOR HOMELESS MOTHERS, 541 SIGMAN ROAD NW CONYERS, GA 30013, NOT INVESTMENT RELATED, POSITION OF DIRECTOR ON BOARD OF DIRECTORS SINCE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6/2018; PARTICIPATES IN THE ONGOING MANAGEMENT OF THE PROGRAM AND ITS FACILITY AND FUND RAISING ACTIVITIES SUCH AS A GOLF TOURNAMENT AND RUNNING VENUE. INVOLVES 2 HOURS PER MONTH DURING TRADING HOURS. NO COMPENSATION RECEIVED. AND DOES NOT HANDLE FUNDS.

3) FLOURISH CASH, NOT INVESTMENT RELATED; 2 PARK AVENUE 11TH FLOOR NEW YORK 10016; REFERRAL FOR INTEREST SAVINGS ACCOUNTS; REFERRAL REP; DEVOTES 3 HOURS PER MONTH WITH 0 HOURS DURING TRADING.



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:	CAPE SECURITIES INC.
Allegations:	Customer alleges misrepresentation of product and risks, over concentration, negligence, lack of due diligence and supervision.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Additional damages requested includes compensatory damages, interest at the legal rate from date of purchase, punitive damages, cost of this proceeding.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Boca Raton, FL
Docket/Case #:	24-00622
Filing date of arbitration/CFTC reparation or civil litigation:	03/20/2024

Customer Complaint Information



Date Complaint Received: 03/27/2024

Complaint Pending? No

Status: Settled

Status Date: 08/28/2024

Settlement Amount: \$17,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Cape Securities, Inc.

Allegations: In January 2020, client exchanged investment real estate for shares in a 1031 DST Exchange issue known as NP Skyloft DST. The client alleges that it was an unsuitable investment due failure of respondent to conduct reasonable due diligence leading to false statements and misrepresentation of product.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security
Other: 1031 DST Exchange

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): The claimant is asking for other amounts such as interest and damages.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA Office of Dispute Resolution SE Regional Office

Docket/Case #: 22-02924

Filing date of arbitration/CFTC reparation or civil litigation: 01/23/2023

Customer Complaint Information

Date Complaint Received: 01/31/2023

Complaint Pending? No

Status: Settled

Status Date: 03/06/2024

Settlement Amount: \$56,000.00

Individual Contribution Amount: \$28,000.00



End of Report

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