



IAPD Report

JEFF BRIAN MITCHELL

CRD# 2325229

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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

JEFF BRIAN MITCHELL (CRD# 2325229)

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 **04/01/2025**.

CURRENT EMPLOYERS

| Firm | CRD# | Registered Since |
|------------------------------|-------------|------------------|
| IA AE WEALTH MANAGEMENT, LLC | CRD# 282580 | 03/04/2019 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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 JCG INVESTMENTS, LLC | 171235 | GRANITE BAY, CA | 07/31/2014 - 08/05/2020 |
| IA CROSSROADS CAPITAL MANAGEMENT, INC. | 145677 | GRANITE BAY, CA | 07/29/2010 - 04/28/2016 |
| IA HORTER INVESTMENT MANAGEMENT, LLC | 119880 | GRANITE BAY, CA | 05/30/2008 - 04/05/2010 |

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 **3** 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 |
|---|----------------|-----------------------------------|---------------------|------------|
|  | California | Investment Adviser Representative | Approved | 03/04/2019 |
|  | South Carolina | Investment Adviser Representative | Approved | 01/21/2025 |
|  | Texas | Investment Adviser Representative | Restricted Approval | 10/20/2022 |

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
3000 Lava Ridge Ct
Ste 120
Roseville, CA 95661



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 | 03/26/1993 |
|---|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-----------|------------|
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 05/03/2008 |
|--|-----------|------------|

| | | |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/26/1993 |
|---|-----------|------------|

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 | 07/31/2014 - 08/05/2020 | JCG INVESTMENTS, LLC | CRD# 171235 | GRANITE BAY, CA |
| IA | 07/29/2010 - 04/28/2016 | CROSSROADS CAPITAL MANAGEMENT, INC. | CRD# 145677 | GRANITE BAY, CA |
| IA | 05/30/2008 - 04/05/2010 | HORTER INVESTMENT MANAGEMENT, LLC | CRD# 119880 | GRANITE BAY, CA |
| B | 02/27/1995 - 10/19/1995 | ADVANTAGE CAPITAL CORPORATION | CRD# 146 | ATLANTA, GA |
| B | 03/29/1993 - 01/10/1995 | PFS INVESTMENTS 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 |
|-------------------|-------------------------------------|-----------------------------------|--------------------|------------------------------|
| 01/2025 - Present | AFEA | Coach | Y | Concord, NC, United States |
| 03/2019 - Present | AE WEALTH MANAGEMENT | INVESTMENT ADVISER REPRESENTATIVE | Y | Topeka, KS, United States |
| 02/2010 - Present | ADVISORS PLUS, LLC | FOUNDER & PARTNER | Y | CARLSBAD, CA, United States |
| 04/2005 - Present | MONOLITH FINANCIAL GROUP, INC. | CEO/FOUNDER | Y | Roseville, CA, United States |
| 07/2014 - 08/2020 | JCG INVESTMENTS, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | LINCOLN, CA, United States |
| 07/2011 - 02/2019 | CROSSROADS CAPITAL MANAGEMENT, INC. | INVESTMENT ADVISOR REPRESENTATIVE | Y | CARLSBAD, CA, United States |



Registration & Employment History



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. MONOLITH FINANCIAL; INVESTMENT RELATED; 3000 LAVA RIDGE CT, STE 120, ROSEVILLE, CA 95661; INSURANCE SALES; CEO; 4/2005; 160 HOURS PER MONTH; 160 HOURS DURING SECURITIES TRADING HOURS; INSURANCE SALES
2. AFEA; Not Investment Related; 349 Copperfield Blvd NE STE-L #106, Concord NC 28025; Educational Based; Coach; Start Date 01/2025; 4 Hours per Month; 0 Hours during Securities Trading Hours; Coaching



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: | Regulator |
| Regulatory Action Initiated By: | California |
| Sanction(s) Sought: | Other: Order to Discontinue Violations |
| Date Initiated: | 08/21/2020 |
| Docket/Case Number: | 2020100061 |
| URL for Regulatory Action: | https://dfpi.ca.gov/wp-content/uploads/sites/337/2020/08/Admin.-Action-JCG-Investments-LLC-Statement-in-Support-of-Order-to-Discontinue.pdf |
| Employing firm when activity occurred which led to the regulatory action: | JCG Investments, LLC |
| Product Type: | No Product |
| Allegations: | (1)Corporations Code section 25241, by failing to maintain books and records; (2)Corporations Code section 25404, by making false or misleading statements to the commissioner with the intent to impede or obstruct the commissioner's examinations; (3)Corporations Code section 25235, by engaging in Fraudulent, Deceptive, or Manipulative acts through false or misleading advertisements; /// /// (4)Corporations Code section 25238, by engaging in Investment Adviser activities in contradiction of the Commissioner's rules by failing to maintain client records to establish client suitability for investments; (5)Corporations Code section 25243.5, by using misleading senior-specific certification, credential, or professional designation; (6)California Code of Regulations, title 10, section 260.235, by making advertisements which contain untrue, false, or misleading statements and failing to |



provide an advertisement file;
 (7)California Code of Regulations, title 10, section 260.236.1, by failing to maintain an accurate Form U4;
 (8)California Code of Regulations, title 10, section 260.237, by failing to follow custody of funds requirements;
 (9)California Code of Regulations, title 10, section 260.237.2, by failing to comply with its minimum net worth requirements and failing to maintain a minimum net worth;
 (10)California Code of Regulations, title 10, section 260.238, by failing to maintain client suitability documentation and failing to adhere to the terms of signed advisory agreements;
 (11)California Code of Regulations, title 10, section 260.241.2, by failing to file required annual reports and monthly interim reports;
 (12)California Code of Regulations, title 10, section 260.241.3, by failing to maintain a balance sheet, income statement, general ledger, cash reconciliation for bank accounts, brokerage application, advisory agreements, computations of minimum net worth requirements, correspondence file, complaint file, and maintain copies of client account statements; failing to provide evidence of the granting of any discretionary authority by any client to the adviser and supplementary documentation for alternative investments;
 (13)California Code of Regulations, title 10, section 260.241.4, for failing to keep accurate its form ADV.

Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
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: 11/06/2020
Sanctions Ordered: Other: Order to Discontinue Violations

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Reporting Source: Individual
Regulatory Action Initiated By: State of California Department of Financial Protection and Innovation
Sanction(s) Sought: Other: Order to Discontinue Violations
Date Initiated: 08/21/2020
Docket/Case Number: 171235, 5919222, 2325229
Employing firm when activity occurred which led to the regulatory action: JCG Investments, LLC
Product Type: No Product
Allegations: Failure to produce records required to be maintained; Failure to maintain books and records the Commissioner by Rule requires; Knowingly making untrue statements to the Commissioner; fraudulent, deceptive, or manipulative acts, practices, or course of business; engaging in investment adviser activities in contradiction of the Commissioner's rules designed to promote fair, equitable, and ethical principles; failure to meet minimum net worth requirements, timely



notify the Commissioner of a deficiency, and timely file interim financial reports; failure to file annual financial reports; Misleading use of a senior-specific certification, credential, or professional designation; failure to update JCG's Central Registration Depository

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:

11/06/2020

Sanctions Ordered:

Other: Order to Discontinue Violations

Broker Statement

In 2019, JCG Investments (former firm) underwent an examination where several violations were alleged. The allegations, in full, did not apply to me specifically. None of the allegations were in direct affect to any client's accounts, however the books and records and filing requirements were part of my supervision as a part owner of this firm. I was not fined nor required to pay any administrative penalty. My registration was not suspended or revoked, nor did I have any prohibition as an Investment Adviser Representative. In settling this matter, I agreed to the entry of the Consent Order.



End of Report

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