IAPD Report

JEFFREY HENRY MASSEY

CRD# 2395900

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JEFFREY HENRY MASSEY (CRD# 2395900)

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 **02/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	03/07/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	LINCOLN, RI	03/25/2010 - 03/06/2018
B	INVESTORS CAPITAL CORP.	30613	LYNNFIELD, MA	01/21/1998 - 11/01/2001
B	CENTAURUS FINANCIAL, INC.	30833	ANAHEIM, CA	01/30/1996 - 11/18/1997

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	2
Investigation	1
Customer Dispute	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 **2** 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	Rhode Island	Investment Adviser Representative	Approved	03/07/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	02/17/2026

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
250F Centerville Rd
Warwick, RI 02886

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	11/26/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/14/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/26/1993

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	03/25/2010 - 03/06/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	LINCOLN, RI
B	01/21/1998 - 11/01/2001	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	01/30/1996 - 11/18/1997	CENTAURUS FINANCIAL, INC.	CRD# 30833	ANAHEIM, CA
B	11/29/1993 - 12/31/1995	AMERICAN CLASSIC SECURITIES, INC.	CRD# 25399	PONTE VEDRA, FL

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
03/2018 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Topeka, KS, United States
12/1995 - Present	MASSEY & ASSOCIATES, INC.	PRESIDENT	Y	LINCOLN, RI, United States
03/2010 - 03/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, 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.

1.) MASSEY AND ASSOCIATES INC.; INVESTMENT-RELATED; 250F CENTERVILLE RD., WARWICK, RI 02886; INSURANCE SALES; PRESIDENT; 12/1995; 140-152 HOURS PER MONTH; 140-152 HOURS PER MONTH; SALES OF FIXED INSURANCE PRODUCTS
2.) AUTHOR; NON INVESTMENT-RELATED; 250F CENTERVILLE RD., WARWICK, RI 02886; BOOK SALES; AUTHOR; 5/2018; 0 HOURS PER MONTH; 0 HOURS PER MONTH; BOOK SALES

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	2
Customer Dispute	1
Investigation	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/21/2002
Docket/Case Number:	C11020026
Employing firm when activity occurred which led to the regulatory action:	INVESTORS CAPITAL CORPORATION
Product Type:	Investment Contract(s)
Other Product Type(s):	
Allegations:	NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PRIOR WRITTEN NOTICE TO, OR APPROVAL FROM, HIS MEMBER FIRM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/21/2002
Sanctions Ordered:	Disgorgement/Restitution

	Suspension
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR NINE MONTHS AND REQUIRED TO DISGORGE $20,000 OF COMMISSIONS RECEIVED AND PAY PARTIAL RESTITUTION TO PUBLIC CUSTOMERS, PLUS INTEREST. RESTITUTION AMOUNTS ORDERS ARE DUE AND PAYABLE UPON REASSOCIATION WITH ANY MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED RESTITUTION AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. THE SUSPENSION SHALL BEGIN ON JULY 15, 2002 AND END ON APRIL 14, 2003.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	REGISTERED REPRESENTATIVE
Duration:	9 MONTHS
Start Date:	07/15/2002
End Date:	04/14/2003

Reporting Source:	Individual
Regulatory Action Initiated By:	National Association of Securities Dealers, Inc.
Sanction(s) Sought:	
Date Initiated:	06/21/2002
Docket/Case Number:	C11020026
Employing firm when activity occurred which led to the regulatory action:	Investors Capital Corporation
Product Type:	Investment Contract
Allegations:	Without admitting or denying the allegations, the respondent consented to the entry of findings that he engaged in private securities transactions without prior written notice to, or approval from, his member firm.
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:	06/21/2002
Sanctions Ordered:	Suspension Other: Suspended from association with any NASD member for nine months.

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	RI DEPT. OF BUSINESS REG - DIV OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Date Initiated:	03/13/2000
Docket/Case Number:	DBR #00-0074
Employing firm when activity occurred which led to the regulatory action:	INVESTORS CAPITAL CORPORATION
Product Type:	Other: PAY TELEPHONES
Allegations:	VIOLATION OF RHODE ISLAND UNIFORM SECURITIES ACT SECTION #212
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?	Yes
Resolution Date:	03/13/2000
Sanctions Ordered:	Cease and Desist

Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source:	Firm
Initiated By:	NASD BOSTON OFFICE
Notice Date:	04/12/2000
Details:	INVESTIGATION OF MASSEY'S PAST BUSINESS PRACTICES INVOLVING THE SALE OF VIATICALS AND PAY TELEPHONES AND HIS LEVEL OF DISCLOSUOF THESE ACTIVITIES TO HIS FIRM.

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORPORATION
Allegations:	UNSUITABLE INVESTMENTS
Product Type:	Other
Other Product Type(s):	FIDELITY VIATICAL TRUST, ETS PAY PHONES, ANNUITY
Alleged Damages:	$30,500.00

Customer Complaint Information

Date Complaint Received:	08/06/2001
Complaint Pending?	No
Status:	Litigation
Status Date:	08/01/2001
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	RHODE ISLAND SUPERIOR COURT, PC-01-3964
Date Notice/Process Served:	08/06/2001
Litigation Pending?	Yes
Firm Statement	PENDING LITIGATION

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORPORATION
Allegations:	UNSUITABLE INVESTMENTS
Product Type:	Other: FIDELITY VIATICAL TRUST, ETS PAY PHONES, ANNUITY
Alleged Damages:	$30,500.00

Customer Complaint Information

Date Complaint Received:	08/06/2001
Complaint Pending?	No

Status:	Settled
Status Date:	08/06/2001
Settlement Amount:	$26,000.00
Individual Contribution Amount:	$8,666.67

Civil Litigation Information

Disposition:	Settled
Disposition Date:	08/06/2001
Broker Statement	Mr. Massey's Individual Contribution Amount was paid out by his Errors & Omissions policy.

End of Report

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