



IAPD Report

WILKES THOMAS MARTIN III

CRD# 2441277

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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

WILKES THOMAS MARTIN III (CRD# 2441277)

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 **07/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWEDGE SECURITIES, LLC	CRD# 10674	06/17/2024
IA	NEWEDGE ADVISORS	CRD# 171351	06/17/2024

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **16** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	GREENVILLE, SC	02/13/2013 - 06/17/2024
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	GREENVILLE, SC	02/13/2013 - 06/17/2024
IA	MORGAN KEEGAN & COMPANY, INC.	4161	GREENVILLE, SC	02/20/2008 - 02/13/2013

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	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 **16** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWEDGE ADVISORS**
Main Address: 858 CAMP STREET
NEW ORLEANS, LA 70130
Firm ID#: 171351

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	06/25/2024
IA South Carolina	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	06/17/2024

Branch Office Locations

NEWEDGE ADVISORS
291 S Pine Street
Spartanburg, SC 29302

Employment 2 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**
Main Address: 1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368
Firm ID#: 10674

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/17/2024
B Nasdaq Stock Market	General Securities Representative	Approved	06/17/2024
B Alabama	Agent	Approved	06/17/2024
B Florida	Agent	Approved	06/17/2024



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	06/17/2024
B Iowa	Agent	Approved	06/17/2024
B Maryland	Agent	Approved	06/17/2024
B Massachusetts	Agent	Approved	06/17/2024
B Minnesota	Agent	Approved	06/17/2024
B Missouri	Agent	Approved	06/17/2024
B Nevada	Agent	Approved	06/17/2024
B New York	Agent	Approved	06/17/2024
B North Carolina	Agent	Approved	06/19/2024
B Pennsylvania	Agent	Approved	06/17/2024
B South Carolina	Agent	Approved	06/17/2024
B Texas	Agent	Approved	06/17/2024
B Virginia	Agent	Approved	06/17/2024

Branch Office Locations

291 S Pine Street
Spartanburg, SC 29302



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




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	06/20/2003
 General Securities Representative Examination (S7)	Series 7	03/16/1994

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/06/1994

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
B	02/13/2013 - 06/17/2024	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	GREENVILLE, SC
IA	02/13/2013 - 06/17/2024	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	GREENVILLE, SC
IA	02/20/2008 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	GREENVILLE, SC
B	02/15/2008 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	GREENVILLE, SC
IA	09/20/1994 - 02/28/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SPARTANBURG, SC
B	08/19/1994 - 02/28/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SPARTANBURG, SC
B	03/17/1994 - 08/22/1994	INTERSTATE/JOHNSON LANE CORPORATION	CRD# 431	CHARLOTTE, NC

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
06/2024 - Present	NewEdge Advisors	Registered Investment Representative	Y	New Orleans, LA, United States
06/2024 - Present	NewEdge Securities Inc	Registered Representative	Y	Pittsburgh, PA, United States
02/2013 - 06/2024	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	GREENVILLE, SC, 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. Mr. Wilkes conducts advisory services through NewEdge Advisors, LLC, a registered investment advisor, doing business as (DBA) Sage Capital Wealth. Mr. Wilkes is an investment advisor representative and devotes 160 hours per month to this activity during trading hours. Start Date: 06/2024.
2. Fixed Ins / Variable annuities* Yes Invest*Spartanburg SC *Partnership*6/14/24*Insurance Agent*Sales of Insurance*4 Hrs trade/2 Non trade
3. Own Building*Greenville SC * No Invest*investment Property*Sole Owner*6/14/24*Owner*1 Hr trade/1 Non trade



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	1

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:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION BY CGMI WITH RESPECT TO THE MAT SERIES OF PRIVATE PLACEMENT INVESTMENT FUNDS. CLAIMANT ALLEGES THAT FA PASSED ALONG TO HIM ERRONEOUS INFORMATION THAT FA RECEIVED FROM CGMI.
Product Type:	Other: HEDGE FUNDS
Alleged Damages:	\$500,000.00
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
Docket/Case #:	10-00313
Filing date of arbitration/CFTC reparation or civil litigation:	01/21/2010
Customer Complaint Information	
Date Complaint Received:	02/03/2010



Complaint Pending? No
Status: Settled
Status Date: 03/08/2011
Settlement Amount: \$350,000.00
Individual Contribution Amount: \$0.00
Firm Statement THIS CASE WAS SETTLED TO AVOID THE COST AND RISK ASSOCIATED WITH ARBITRATION. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS OF MAT WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.
Allegations: CLAIMANT ALLEGES MISREPRESENTATION BY CCM I WITH RESPECT TO THE MAT SERIES OF PRIVATE PLACEMENT INVESTMENT FUNDS. CLAIMANT ALLEGES THAT FA PASSED ALONG TO HIM ERRONEOUS INFORMATION THAT FA RECEIVED FROM CGMI.
Product Type: Other: HEDGE FUNDS
Alleged Damages: \$500,000.00
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
Docket/Case #: 10-00313
Filing date of arbitration/CFTC reparation or civil litigation: 01/21/2010

Customer Complaint Information

Date Complaint Received: 02/03/2010
Complaint Pending? No
Status: Settled
Status Date: 03/08/2011
Settlement Amount: \$350,000.00
Individual Contribution Amount: \$0.00
Broker Statement I HAVE WORKED IN THE SECURITIES INDUSTRY FOR 18 YEARS AND HAVE NEVER HAD AN ARBITRATION FILED AGAINST ME. UNDER RECENT REVISIONS TO THE REPORTING REQUIREMENTS, WHICH WENT INTO EFFECT MAY 2009, AN EVENT WHERE I WAS THE BROKER OF RECORD IS



DISCLOSED ON MY CENTRAL REGISTRATION DEPOSITORY RECORDS EVEN THOUGH I AM NOT A NAMED RESPONDENT IN THE MATTER. THIS CASE WAS SETTLED TO AVOID THE COST AND RISK ASSOCIATED WITH ARBITRATION. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS OF MAT WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.

WHILE EMPLOYED AT SMITH BARNEY, I RECOMMENDED TO MY CLIENTS, [CUSTOMERS] A LOW TO MODERATE RISK BOND ARBITRAGE INVESTMENT WITH AN IMPRESSIVE TRACK RECORD THAT MET THEIR INVESTMENT OBJECTIVES AND WAS SUITABLE IN LIGHT OF THEIR FINANCIAL SITUATION. SMITH BARNEY THEN REPLACED THE ENTIRE DEPARTMENT MANAGING THIS INVESTMENT AND CHANGED THE MANAGEMENT PROCESS WITHOUT INFORMING THE [CUSTOMERS] OR ME. THE [CUSTOMERS] SUBSEQUENTLY FILED AN ARBITRATION AGAINST CITIGROUP GLOBAL MARKETS, INC WHICH I WAS NOT A NAMED DEFENDANT.

I WAS NOT INVOLVED IN THE ARBITRATION WHICH WAS SETTLED BETWEEN CITI AND THE [CUSTOMERS]. I ACCEPT NO PART IN ANY WRONG DOING IN THIS MATTER.

MOST NOTABLY, WHEN I LEFT SMITH BARNEY/CITI TO JOIN MORGAN KEEGAN IN 2008 THE [CUSTOMERS] NOT ONLY REMAINED CLOSE PERSONAL FRIENDS, BUT ALSO FOLLOWED ME TO MORGAN KEEGAN AS CLIENTS. TO THIS DAY THE [CUSTOMERS] ARE GREAT CLIENTS.



End of Report

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