



## IAPD Report

**JEFFREY BRETT VAUGHN**

CRD# 2505687

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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

### JEFFREY BRETT VAUGHN (CRD# 2505687)

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 **01/02/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STONEX SECURITIES INC.	CRD# 18456	02/17/2012
<b>IA</b>	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	08/16/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>B</b>	SYNERGY INVESTMENT GROUP, LLC	46035	KANNAPOLIS, NC	02/18/2010 - 03/07/2012
<b>IA</b>	SYNERGY INVESTMENT GROUP, LLC	46035	KANNAPOLIS, NC	02/18/2010 - 03/06/2012
<b>B</b>	FIFTH THIRD SECURITIES, INC.	628	DAVIDSON, NC	06/13/2008 - 02/01/2010

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
Termination	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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 18456

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/17/2012
	FINRA	General Securities Sales Supervisor	Approved	02/17/2012
	FINRA	Invest. Co and Variable Contracts	Approved	02/17/2012
	Alabama	Agent	Approved	07/16/2014
	Florida	Agent	Approved	03/13/2012
	Georgia	Agent	Approved	07/11/2014
	Illinois	Agent	Approved	07/11/2014
	Indiana	Agent	Approved	01/22/2024
	Kentucky	Agent	Approved	01/06/2025
	Maryland	Agent	Approved	01/09/2024
	Massachusetts	Agent	Approved	11/20/2014
	Minnesota	Agent	Approved	04/19/2013
	Nebraska	Agent	Approved	04/25/2013



## Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	01/03/2024
B	New York	Agent	Approved	01/04/2024
B	North Carolina	Agent	Approved	03/06/2012
B	Oklahoma	Agent	Approved	01/08/2024
B	Oregon	Agent	Approved	01/17/2024
B	Pennsylvania	Agent	Approved	01/04/2024
B	South Carolina	Agent	Approved	03/13/2012
B	Texas	Agent	Approved	05/02/2013
B	Virginia	Agent	Approved	07/11/2014

## Branch Office Locations

708 McLain Road  
KANNAPOLIS, NC 28083

## Employment 2 of 2

Firm Name: **SYNERGY INVESTMENT GROUP, LLC**  
Main Address: 708 MCLAIN ROAD  
KANNAPOLIS, NC 28083  
Firm ID#: 46035

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	08/16/2012

## Branch Office Locations

**SYNERGY INVESTMENT GROUP, LLC**  
708 MCLAIN ROAD  
KANNAPOLIS, NC 28083



## 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 2 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/02/2002
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/02/2002

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/02/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/05/1994

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/12/2007
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/09/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/15/1994



### 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	02/18/2010 - 03/07/2012	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	KANNAPOLIS, NC
IA	02/18/2010 - 03/06/2012	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	KANNAPOLIS, NC
B	06/13/2008 - 02/01/2010	FIFTH THIRD SECURITIES, INC.	CRD# 628	DAVIDSON, NC
IA	06/13/2008 - 02/01/2010	FIFTH THIRD SECURITIES, INC.	CRD# 628	DAVIDSON, NC
IA	12/13/2007 - 06/16/2008	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	KANNAPOLIS, NC
B	10/07/2003 - 06/16/2008	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	KANNAPOLIS, NC
B	10/01/2000 - 10/03/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	03/06/1996 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	07/06/1994 - 10/25/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

### 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
02/2012 - Present	STONEX SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States
02/2010 - Present	SYNERGY INVESTMENT GROUP, LLC	REPRESENTATIVE	Y	KANNAPOLIS, NC, 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). Syneregy Insurance Group 708 McLain Rd Kannapolis NC 28083  
Nature of Business: Insurance Sales



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Investment Related: Yes

Business Position: Representative

Business Duties: Insurance Sales

Business Start Date: 01/30/2012

Approximately 5 hours spent on this OBA monthly with .5 hours spent during market hours.

2) SYNERGY INVESTMENT GROUP, LLC. YES, INVESTMENT RELATED; 2622 DALE EARNHARDT BLVD. KANNAPOLIS, NC. 28083; RIA; INVESTMENT ADVISORY REPRESENTATIVE; 06/14/2013; 5 HOURS PER MONTH AND DURING SECURITY TRADING HOURS; INVESTMENT ADVISORY SERVICES TO CLIENTS.

3) Avista Resort Condo Owner Init 1712 300 North Ocean Blvd North Myrtle Beach SC 29582

Nature of Business: Own Property that Avista rents out

Investment Related: No

Business Position: Owner

Business Duties: Just owner of a unit. Not involved with any other aspect of Property

Business Start Date: 10/03/2014

Approximately zero hours spent on this OBA monthly.

4) Vaughn Wealth Management Inc

160 Fox Grove Lane

Salisbury, NC 28146

Investment Related: Yes

Date Started: 3/20/2018

Title: Owner

Duties: President

Nature: It is my S Corp where my Income goes through

Zero hours spent on this OBA.

5) Kann-Corn Properties LLC

2626 Dale Earnhardt Blvd, Kannapolis, NC 28083

05/06/2019

Non Investment Related

Title: member

Nature: Rent out Real Estate

Duties: Make decisions on overall matters

Approximately one hour per month with zero during market hours.

6) Synergy Wealth Management 708 McLain Rd Kannapolis NC 28083

Nature of Business: Manage Investment Accounts

Investment Related: Yes

Business Position: Investment Advisor

Business Duties: Manage Investment accounts

Business Start Date: 03/01/2017

Approximately 40 hours spent on this OBA monthly, with 8 during market hours.





## 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
Termination	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** FIFTH THIRD SECURITIES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 01/28/2010  
**Allegations:** FIRM BELIEVES REPRESENTATIVE EXERCISED DISCRETION IN CUSTOMER ACCOUNTS IN VIOLATION OF FIRM POLICY.  
**Product Type:** CD  
Debt-Government  
Mutual Fund

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**Reporting Source:** Individual  
**Firm Name:** FIFTH THIRD SECURITIES, INC  
**Termination Type:** Discharged  
**Termination Date:** 01/28/2010  
**Allegations:** FIRM BELIEVES REPRESENTATIVE EXERCISED DISCRETION IN CUSTOMER ACCOUNTS IN VIOLATION OF FIRM POLICY.  
**Product Type:** CD  
Debt-Government  
Mutual Fund  
**Broker Statement** THE FIRM THOUGHT I EXERCISED DISCRETION IN ACCOUNTS BUT I HAD CLIENTS PERMISSION. I DENY ALL ALLEGATIONS.



## End of Report

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