



## IAPD Report

### GERALD PAUL DIETZ

CRD# 4032865

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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

### GERALD PAUL DIETZ (CRD# 4032865)

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 **05/06/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CAPE SECURITIES INC.	CRD# 7072	01/10/2018
<b>IA</b>	CAPE INVESTMENT ADVISORY, INC.	CRD# 146384	02/11/2018
<b>B</b>	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	CRD# 7388	05/06/2025

### QUALIFICATIONS

This representative is currently registered in **1** 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
<b>B</b>	WBB SECURITIES, LLC	118440	SAN DIEGO, CA	11/04/2016 - 12/31/2017
<b>IA</b>	KEYSTONE CAPITAL CORPORATION	10722	Dallas, TX	07/21/2014 - 10/31/2016
<b>B</b>	KEYSTONE CAPITAL CORPORATION	10722	Dallas, TX	07/03/2014 - 10/31/2016

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	4
Termination	1



## Report Summary

Judgment/Lien

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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 3

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	05/06/2025
 Texas	Agent	Approved	07/08/2025

#### Branch Office Locations

15305 Dallas Parkway Suite 1200  
Addison, TX 75001

#### Employment 2 of 3

Firm Name: **CAPE SECURITIES INC.**

Main Address: 1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253

Firm ID#: 7072

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	01/10/2018
 California	Agent	Approved	01/16/2019
 Texas	Agent	Approved	01/10/2018

#### Branch Office Locations

15305 Dallas Parkway  
Suite 1200



## Qualifications

Addison , TX 75001

### Employment 3 of 3

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

Main Address: 1600 PENNSYLVANIA AVE.  
MCDONOUGH, GA 30253

Firm ID#: 146384

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	02/11/2018

### Branch Office Locations

**CAPE INVESTMENT ADVISORY, INC.**

15305 Dallas Parkway Suite 1200  
Addison, TX 75001



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	03/23/2002
 General Securities Representative Examination (S7)	Series 7	12/07/2001

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/15/2002

### 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
	11/04/2016 - 12/31/2017	WBB SECURITIES, LLC	CRD# 118440	SAN DIEGO, CA
	07/21/2014 - 10/31/2016	KEYSTONE CAPITAL CORPORATION	CRD# 10722	Dallas, TX
	07/03/2014 - 10/31/2016	KEYSTONE CAPITAL CORPORATION	CRD# 10722	Dallas, TX
	04/07/2011 - 05/07/2014	GIRARD SECURITIES, INC.	CRD# 18697	MCKINNEY, TX
	02/25/2011 - 05/07/2014	GIRARD SECURITIES, INC.	CRD# 18697	MCKINNEY, TX
	03/25/2009 - 02/11/2011	QA3 FINANCIAL LLC	CRD# 104957	MCKINNEY, TX
	02/25/2009 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	MCKINNEY, TX
	04/10/2006 - 01/16/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CARROLLTON, TX
	11/11/2004 - 01/16/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CARROLLTON, TX
	05/27/2004 - 06/17/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
	05/12/2004 - 06/17/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	EL PASO, TX
	01/16/2002 - 12/06/2002	MORGAN STANLEY	CRD# 7556	EL PASO, TX
	12/10/2001 - 12/06/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY

### 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
01/2018 - Present	Cape Securities, Inc.	Registered Representative	Y	McDonough, GA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2017 - Present	Richland College	ADJUNCT PROFESSOR	N	Dallas, TX, United States
11/2016 - 12/2017	WBB Securities, LLC.	Registered Representative	Y	San Diego, CA, United States
07/2014 - 10/2016	KEYSTONE CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
03/2014 - 09/2016	ITT TECHNICAL INSTITUTE	ADJUNCT PROFESSOR	N	RICHARDSON, TX, 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.

GP Dietz Financial 7912 Freeland Drive Plano, TX 75025 - Agent through Bell & Associates welling fixed insurance, life insurance and fixed annuities since 2018, 10-15 hours to per month with all during trading hours.

Richman College Dallas County Community College District 12800 Abrams Road Dallas TX 75243, College Adjunct Instructor, approx. 8 hrs per week for 6 week, all non-trading hours, non-investment related.



## 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	4
Termination	1
Judgment/Lien	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 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CHASE INVESTMENT SERVICES CORP.
<b>Allegations:</b>	CLIENT ALLEGES SUITABILITY RELATING TO A MUTUAL FUND INVESTMENT. ACTIVITY DATES 05/10/06-05/10/06.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$11,581.05

### Customer Complaint Information

**Date Complaint Received:** 04/29/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/06/2009

**Settlement Amount:** \$11,581.05

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

CHASE INVESTMENT SERVICES

**Allegations:**

CLIENT TOOK OUT A HOME EQUITY LOAN IN WHICH HE CONSOLIDATED A PREVIOUS HOME EQUITY LOAN AND SOME CREDIT CARD DEBT. HE ALSO TOOK CASH OUT WHEN HE DID SO BECAUSE HE WAS CASH POOR AND NEED THE MONEY IN CASE OF EMERGENCY. HE WANTED THE MONEY TO PROVIDE INCOME AND GROW, SO PUT HIM IN FRANKLIN INCOME FUND. THE CLIENT DIED AND HIS SON CAME IN AND COMPLAINED ABOUT THE LOAN AND INVESTMENT.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$11,581.05

### Customer Complaint Information

**Date Complaint Received:** 04/29/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/06/2009

**Settlement Amount:** \$11,581.05

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 4

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CHASE INVESTMENT SERVICES CORP.

**Allegations:** CLIENT ALLEGES REP FAILED TO FOLLOW INSTRUCTIONS RELATING TO A MANAGED ACCOUNT.

**Product Type:** Other

**Other Product Type(s):** MANAGED ACCOUNT.

**Alleged Damages:** \$54,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/10/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/16/2008

**Settlement Amount:** \$56,698.33

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 4

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

CHASE INVESTMENT SERVICES CORP

**Allegations:**

CLIENT ALLEGES THAT THE PURCHASE OF A MUTUAL FUND WAS MISREPRESENTED.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:** \$12,835.81

### Customer Complaint Information

**Date Complaint Received:** 03/14/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/02/2008

**Settlement Amount:** \$13,873.04

**Individual Contribution Amount:** \$0.00

### Disclosure 4 of 4

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CHASE INVESTMENT SERVICES CORP

**Allegations:** CLIENT ALLEGES THAT REP FAILED TO FOLLOW INSTRUCTIONS.

**Product Type:** Other

**Other Product Type(s):** MANAGED/OUTSIDE WRAP ACCT (FUND QUEST (OUTSIDE))

**Alleged Damages:** \$30,000.00

### Customer Complaint Information

**Date Complaint Received:** 01/23/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/20/2008

**Settlement Amount:** \$11,732.17

**Individual Contribution Amount:** \$0.00



## 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:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 12/19/2008  
**Allegations:** REGISTERED REP WAS TERMINATED FOR FAILING TO REALLOCATE A CLIENTS ACCOUNT AS PREVIOUSLY DISCUSSED WITH AND AGREED UPON BY THE CLIENT BY NEGLECTING TO SEND IN THE CLIENTS SIGNED NEW ALLOCATION FORM. REGISTERED REP WAS PREVIOUSLY PLACED ON WRITTEN WARNING FOR THE SAME ACTIVITY.  
**Product Type:** No Product  
**Other Product Types:**  
-----  
**Reporting Source:** Individual  
**Firm Name:** CHASE INVESTMENT SERVICES  
**Termination Type:** Discharged  
**Termination Date:** 12/19/2008  
**Allegations:** THAT CUSTOMER PORTFOLIOS WERE NOT COMPLETED AS INSTRUCTED BY THE CLIENTS.  
**Product Type:** No Product  
**Other Product Types:**



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Judgment/Lien Holder:** DISCOVER BANK

**Judgment/Lien Amount:** \$9,785.32

**Judgment/Lien Type:** Civil

**Date Filed with Court:** 12/07/2011

**Date Individual Learned:** 12/16/2011

**Type of Court:** State Court

**Name of Court:** TEXAS

**Location of Court:** DALLAS COUNTY

**Docket/Case #:** CC-11-08406-A

**Judgment/Lien Outstanding?** Yes

**Broker Statement** THE REGISTERED REPRESENTATIVE HAS MADE PAYMENTS TOWARDS HIS BALANCE AND IS WORKING TO SATISFY AMOUNT IN FULL.



## End of Report

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