



IAPD Report

DAVID ALLEN PIERCE

CRD# 4583553

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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

DAVID ALLEN PIERCE (CRD# 4583553)

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 **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	APOLLON WEALTH MANAGEMENT, LLC	CRD# 291902	05/18/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	CATALYST WEALTH MANAGEMENT	291138	Atlanta, GA	05/07/2018 - 12/13/2023
B	KALOS CAPITAL, INC.	44337	Atlanta, GA	11/09/2015 - 10/03/2022
IA	KALOS MANAGEMENT	133025	Suwanee, GA	12/16/2015 - 07/11/2018

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	2



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **APOLLON WEALTH MANAGEMENT, LLC**

Main Address: 111 COLEMAN BLVD
SUITE 402
MOUNT PLEASANT, SC 29464

Firm ID#: 291902

	Regulator	Registration	Status	Date
	Georgia	Investment Adviser Representative	Approved	05/18/2023

Branch Office Locations

APOLLON WEALTH MANAGEMENT, LLC

3344 Peachtree Road NE, Suite 2600
Atlanta, GA 30326



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
	General Securities Representative Examination (S7)	Series 7	05/02/2012
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/19/2002

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	05/07/2018 - 12/13/2023	CATALYST WEALTH MANAGEMENT	CRD# 291138	Atlanta, GA
B	11/09/2015 - 10/03/2022	KALOS CAPITAL, INC.	CRD# 44337	Atlanta, GA
IA	12/16/2015 - 07/11/2018	KALOS MANAGEMENT	CRD# 133025	Suwanee, GA
IA	08/23/2011 - 12/31/2015	TRIAD ADVISORS, INC.	CRD# 25803	Suwanee, GA
B	08/23/2011 - 11/12/2015	TRIAD ADVISORS, INC.	CRD# 25803	SUWANEE, GA
IA	10/22/2009 - 08/26/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	SUWANEE, GA
B	10/19/2009 - 08/26/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	SUWANEE, GA
IA	12/01/2004 - 10/16/2009	ONEAMERICA SECURITIES, INC.	CRD# 4173	NORCROSS, GA
B	11/20/2002 - 10/16/2009	ONEAMERICA SECURITIES, INC.	CRD# 4173	NORCROSS, 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
05/2023 - Present	APOLLON WEALTH MANAGEMENT	ADVISOR	Y	ATLANTA, GA, United States
02/2009 - 12/2023	CATALYST WEALTH MANAGEMENT, LLC	MANAGING PARTNER / ADVISOR	Y	ATLANTA, GA, United States
11/2015 - 10/2022	KALOS CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
12/2015 - 07/2018	KALOS MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALPHARETTA, GA, 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.

APOLLON WEALTH MANAGEMENT; INVESTMENT RELATED; 3525 PIEDMONT ROAD, BUILDING 6 SUITE 420, ATLANTA, GA; SEC-REGISTERED INVESTMENT ADVISOR; MANAGING PARTNER; 5/12/2023; 160 HRS/MONTH; 40 HRS DURING TRADING; WEALTH ADVISOR. ||

ASHFORD ADVISORS; POSITION: BROKER AGENT; NATURE: ASHFORD ADVISORS/GUARDIAN LIFE INSURANCE; INVESTMENT RELATED; TWO RAVINIA DRIVE SUITE 750 ATLANTA, GA 30346; BROKER AGENT; AUG 2009 ; 1-4 HRS PER MONTH ; 1 HR DURING TRADING; BROKER INSURANCE AGENT, NOT A CAREER AGENT. ALL CURRENT CLIENTS OF THIS RELATIONSHIP ARE NOT SECURITIES, ONLY FIXED INSURANCE PRODUCTS SUCH AS LIFE & DISABILITY. ||

OHIO NATIONAL; POSITION: BROKER AGENT; NATURE: OHIO NATIONAL; INVESTMENT RELATED; 1 FINANCIAL WAY #100, CINCINNATI, OH 45242; JULY 2013; 2-6 HRS PER MONTH; 4 HRS DURING TRADING; BROKER INSURANCE AGENT - FIXED INSURANCE SALES & SERVICE SUCH AS LIFE & DISABILITY. ||

MASS MUTUAL/PIEDMONT AGENCY; POSITION: BROKER AGENT; NATURE: MASS MUTUAL/PIEDMONT AGENCY; INVESTMENT RELATED; 1050 CROWN POINTE PKWY # 1800, DUNWOODY, GA 30338; SEPT 2011; 1-4 HRS PER MONTH; 4 HRS DURING TRADING; BROKER INSURANCE AGENT LIFE, DISABILITY & LONG TERM CARE; INVESTMENT RELATED: YES; START DATE: 9/1/2011; DESCRIPTION: LIFE INSURANCE AGENT, SALES & SERVICE OF MASS MUTUAL FIXED INSURANCE PRODUCTS & FIXED ANNUITIES. ||

ASH BROKERAGE; POSITION: BROKER AGENT; NATURE: INSURANCE BUSINESS; INVESTMENT RELATED; 3925 RIVER CROSSING PKWY, SUITE 170 INDIANAPOLIS, IN 46240; START: SEPT 2011; 2-6 HRS PER MONTH; 4-6 HRS DURING TRADING; INVESTMENT RELATED: YES; DESCRIPTION: LIFE, DISABILITY, LONG TERM CARE, ANNUITIES SALES & SERVICE, ALL FIXED. ||



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kalos Capital, Inc.
Allegations:	Breach of fidciary duty, suitability, overconcentration in alternative investments, failure to supervise.
Product Type:	Direct Investment-DPP & LP Interests Other: Alternative Investments
Alleged Damages:	\$718,000.00
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 #:	20-03204
Filing date of arbitration/CFTC reparation or civil litigation:	12/01/2020

Customer Complaint Information

Date Complaint Received:	12/07/2020
Complaint Pending?	No



Status:	Settled
Status Date:	01/18/2021
Settlement Amount:	\$152,923.00
Individual Contribution Amount:	\$0.00
Broker Statement	Actual Claim: \$100k Actual Award: \$19k This claim includes multiple claimants and registered representatives and was settled for a total amount of \$152k with the individual client receiving approximately \$19k as a part of a global settlement agreement and not the total Settlement Amount of \$152k as indicated above. The claim was solicited via the internet by a law firm claiming they were investigating fraud by an issuer. Kalos and I deny any and all wrongdoing and I would have preferred to vigorously defend our actions in a fair venue. As confident as I am that I would be exonerated of any wrongdoing, Kalos determined as a business judgment that it was in the firm's best interests to resolve the dispute rather than incur the time, business disruption, and legal expenses associated with a protracted arbitration proceeding. While this deprives me of due process, I understand the claim has nuisance value for settlement from a business standpoint for Kalos.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Triad Advisors LLC
Allegations:	Claimants allege unsuitability with respect to multiple alternative investments, including those purchased in 2015.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Statement of Claim alleges damages of not less than \$200,000.
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 #:	20-00744
Filing date of arbitration/CFTC reparation or civil litigation:	03/05/2020

Customer Complaint Information

Date Complaint Received:	03/11/2020
Complaint Pending?	No
Status:	Settled



Status Date: 07/15/2021

Settlement Amount: \$90,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Triad Advisors LLC

Allegations: Customers allege they purchased an unsuitable alternative investment.

Product Type: Other: Alternative Investment

Alleged Damages: \$150,000.00

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 #: 20-00744

Filing date of arbitration/CFTC reparation or civil litigation: 03/05/2020

Customer Complaint Information

Date Complaint Received: 03/23/2020

Complaint Pending? No

Status: Settled

Status Date: 07/15/2021

Settlement Amount: \$90,000.00

Individual Contribution Amount: \$0.00



End of Report

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