



## IAPD Report

### Joshua Mauk

CRD# 5915472

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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

### **Joshua Mauk (CRD# 5915472)**

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 **01/09/2026**.

### **CURRENT EMPLOYERS**

	Firm	CRD#	Registered Since
IA	TERRA WEALTH	CRD# 320643	07/18/2022

### **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
B	CAPE SECURITIES INC.	7072	CROWN POINT, IN	11/21/2024 - 12/31/2024
B	CAPE SECURITIES INC.	7072	CROWN POINT, IN	11/10/2023 - 11/07/2024
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	Crown Point, IN	03/24/2022 - 11/03/2023

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

#### Employment 1 of 1

Firm Name: **TERRA WEALTH**  
Main Address: 400 WEST ENGLISH ROAD  
STE 215  
HIGH POINT, NC 27262  
Firm ID#: 320643

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	07/18/2022
IA North Carolina	Investment Adviser Representative	Approved	06/19/2023

#### Branch Office Locations

**TERRA WEALTH**  
123 N MAIN ST  
SUITE 209M  
CROWN POINT, IN 46307



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

#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/13/2014

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/21/2011

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/2011

### 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	11/21/2024 - 12/31/2024	CAPE SECURITIES INC.	CRD# 7072	CROWN POINT, IN
B	11/10/2023 - 11/07/2024	CAPE SECURITIES INC.	CRD# 7072	CROWN POINT, IN
B	03/24/2022 - 11/03/2023	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Crown Point, IN
IA	05/23/2016 - 04/21/2022	PRIMERICA ADVISORS	CRD# 10111	MERRILLVILLE, IN
B	11/23/2011 - 04/21/2022	PFS INVESTMENTS INC.	CRD# 10111	MERRILLVILLE, IN

### 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
01/2026 - Present	Apollon Wealth Management, LLC	Wealth Management Advisor	Y	Charleston, SC, United States
06/2022 - Present	TERRA WEALTH MANAGEMENT, LLC	PRESIDENT AND WEALTH ADVISOR	Y	CROWN POINT, IN, United States
11/2023 - 12/2024	CAPE SECURITIES, iNC.	REGISTERED REPRESENTATIVE	Y	MCDONOUGH, GA, United States
03/2022 - 11/2023	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
04/2011 - 03/2022	PFS INVESTMENTS INC	SALES	Y	MERRILLVILLE, IN, United States
09/2005 - 03/2022	PRIMERICA FINANCIAL SERVICES	REPRESENTATIVE	Y	MERRILLVILLE, IN, 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. Terra Wealth Management, LLC. Investment Related. At Reported Location. RIA. IAR. 03/2022. 80 Hrs/Mo; All During Trading Hours. IAR, and Guide and Direct Reps on Best Practices.
2. Mauk & Associates. Not Investment Related. Location registered at; 02/2018. 2 Hrs/Mo; All During Trading Hours. LLC is



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

Formed to Receive Commissions for Tax Purposes on Insurance Products.

3. Fixed Insurance. Investment Related. 105 N. Court St., Crown Point, Indiana, 46307. Fixed Insurance. Agent. 03/2022. 2 Hrs/Mo; All During Trading Hours. Fixed Insurance Sales.
4. ConnectMyBiz Not Investment Related, 14 West Main Street Suite 200 Thomasville, NC 27360; Referral of employers for Employee Retention Credits, Owner as of 1/2023; 10 hours/mo with 5 during trading hours; organization of compensation being paid and accounting.
5. TerraWealth Risk Management; Investment Related; Life Insurance and Fixed Annuity Products; President; since 4/1/2022; 15 hours per month, all during trading hours; sale of insurance based products when best for client.



## 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

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	PFS INVESTMENTS INC.
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	03/24/2022
<b>Allegations:</b>	ALLEGATIONS AGAINST THE REPRESENTATIVE WERE A PENDING INTERNAL INVESTIGATION OF APPROXIMATELY 80 MUTUAL FUND CROSS FUND FAMILY SWITCHES FOR APPROXIMATELY 70 CLIENTS. OTHER PRE-TERMINATION ALLEGATIONS AGAINST THE REPRESENTATIVE INCLUDE INTERNAL INVESTIGATIONS OF IMPROPER SOCIAL MEDIA CONTENT AND MISUSE OF CONFIDENTIAL INFORMATION AND OTHER CONDUCT IN BREACH OF AGENT AGREEMENTS AND OTHER LEGAL DUTIES.
<b>Product Type:</b>	Mutual Fund
<b>Firm Statement</b>	Primerica's business disputes with Mr. Mauk have been resolved and related litigation was dismissed.

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<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	PFS INVESTMENTS INC.
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	03/24/2022
<b>Allegations:</b>	PFS Alleges: ALLEGATIONS AGAINST THE REPRESENTATIVE WERE A PENDING INTERNAL INVESTIGATION OF APPROXIMATELY 80 MUTUAL FUND CROSS FUND FAMILY SWITCHES FOR APPROXIMATELY 70 CLIENTS. OTHER PRE-TERMINATION ALLEGATIONS AGAINST THE REPRESENTATIVE INCLUDE INTERNAL INVESTIGATIONS OF IMPROPER SOCIAL MEDIA CONTENT AND MISUSE OF CONFIDENTIAL INFORMATION AND OTHER



## CONDUCT IN BREACH OF AGENT AGREEMENTS AND OTHER LEGAL DUTIES.

<b>Product Type:</b>	Mutual Fund
<b>Broker Statement</b>	<p>I challenge the validity of Primerica's Question 7F termination disclosure. When I resigned from Primerica on March 24, 2022, Primerica had not alleged that I violated any investment related statutes, regulations, rules or industry standards of conduct. Primerica also had not and has never accused me of fraud or wrongful taking of property or any failure to supervise. I was unaware that I was under any "pending internal investigation" regarding anything. Primerica's claimed disclosure is motivated by the fact that it is unhappy that I resigned in March 2022 around the same time as another former Primerica agent and decided to work together at a soon to be formed Registered Investment Advisory firm and affiliate with the same broker-dealer. FINRA cautions broker-dealers in its U5 disclosure instructions not to conflate allegations of a competitive nature against an advisor into a U5 disclosure, which Primerica has done here.</p> <p>Regarding the mutual fund trades, I received a phone call in the fall 2021 from a Primerica trade review employee who asked about approximately six trades that I had made. The trade review employee asked why the clients made the decision to change mutual fund families. I explained the rational basis for the customers' transactions and that the customers wanted to make the move to a managed product - some to American Funds' portfolio series and others to Primerica's fee based managed account platform. After explaining my actions, the trade review employee appeared satisfied and stated that she would log her notes regarding the call for any additional review and if I did not hear back from Primerica that all trades would pass review and the matter would be considered closed. I never heard from her or any other person via telephone or email as it related to the trades and Primerica processed and approved all trades.</p> <p>Regarding the alleged "improper social media content," this allegation is also without merit and I was unaware of any investigation pending against me at the time of my resignation about my social media content.</p> <p>Regarding alleged "misuse of confidential information" and non-descript "other conduct in breach of agent agreements and other legal duties," there is also no basis for these allegations.</p> <p>Primerica has not brought any restrictive covenant breach claim against me or alleged I have misused any confidential information. At no time while I was affiliated with Primerica did Primerica claim I misused any confidential information or breached any agreements.</p>



## End of Report

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