IAPD Report

Aaron Jo Shanklin

CRD# 7840735

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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

Aaron Jo Shanklin (CRD# 7840735)

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 **10/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VAN CLEMENS & CO. INCORPORATED	CRD# 6914	02/12/2026
IA	VAN CLEMENS WEALTH MANAGEMENT, LLC	CRD# 297362	02/12/2026

QUALIFICATIONS

This representative is currently registered in **1** 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
B	U.S. BANCORP INVESTMENTS, INC.	17868	Mayfield, KY	11/18/2024 - 02/11/2026
IA	U.S. BANCORP INVESTMENTS, INC.	17868	Mayfield, KY	11/18/2024 - 02/11/2026
B	LPL ENTERPRISE, LLC	8733	LOUISVILLE, KY	11/14/2024 - 12/02/2024

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
Civil Event	1

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

Employment 1 of 2

Firm Name: **VAN CLEMENS & CO. INCORPORATED**

Main Address: 80 SOUTH 8TH ST.
SUITE 1425
MINNEAPOLIS, MN 55402

Firm ID#: 6914

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/12/2026
B	Kentucky	Agent	Approved	02/12/2026

Branch Office Locations

Hopkinsville, KY

Employment 2 of 2

Firm Name: **VAN CLEMENS WEALTH MANAGEMENT, LLC**

Main Address: 80 SOUTH 8TH STREET
SUITE 1425
MINNEAPOLIS, MN 55402

Firm ID#: 297362

	Regulator	Registration	Status	Date
IA	Kentucky	Investment Adviser Representative	Approved	02/12/2026

Branch Office Locations

VAN CLEMENS WEALTH MANAGEMENT, LLC
Hopkinsville, KY

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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, 2 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
B General Securities Representative Examination (S7TO)	Series 7TO	09/05/2024
B Securities Industry Essentials Examination (SIE)	SIE	11/20/2023

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/31/2024

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.

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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	11/18/2024 - 02/11/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Mayfield, KY
IA	11/18/2024 - 02/11/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Mayfield, KY
B	11/14/2024 - 12/02/2024	LPL ENTERPRISE, LLC	CRD# 8733	LOUISVILLE, KY
IA	11/14/2024 - 12/02/2024	LPL ENTERPRISE, LLC	CRD# 8733	LOUISVILLE, KY
IA	09/17/2024 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	LOUISVILLE, KY
B	09/05/2024 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	LOUISVILLE, KY

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
02/2026 - Present	Van Clemens & Co. Inc.	Registered Representative	Y	Minneapolis, MN, United States
02/2026 - Present	Van Clemens Insurance Associates, LLC	Insurance Agent	Y	Minneapolis, MN, United States
02/2026 - Present	Van Clemens Wealth Management, LLC	Investment Adviser Representative	Y	Minneapolis, MN, United States
11/2024 - 02/2026	U.S. Bancorp Investments, Inc.	Wealth Management Advisor	Y	Paducah, KY, United States
08/2024 - 11/2024	Pruco Securities, LLC	Registered Representative	Y	Louisville, KY, United States
08/2024 - 11/2024	The Prudential Insurance Company of America	Financial Professional	Y	Louisville, KY, United States
01/2022 - 07/2024	NextLevel Wealth Planning	Financial Strategist	Y	Hopkinsville, KY, United States
02/2022 - 01/2023	Newfi Wholesale	Regional Account Manager	N	Hopkinsville, KY, United States
03/2019 - 01/2022	Modern Woodmen of America	Financial Rep	Y	Hopkinsville, KY, United States
02/2016 - 03/2019	Fortera Credit Union	Kentucky Market Manager	Y	Hopkinsville, KY, United States

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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.

Veritus Consulting Advisory
My entity for personal production for my firm
200 Remington Rd Hopkinsville KY 42240
Sole member and owner
Owner
10/6/2025
this is an entity solely for my personal production that is paid to me as a 1099 to my business instead of personal by the firm I am associated with.

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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.

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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
Civil Event	1

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	Kenneth D. Murena, in his capacity as Court-Appointed Receiver of Drive Planning, LLC
Relief Sought:	Disgorgement
Date Court Action Filed:	06/30/2026
Date Notice/Process Served:	07/24/2026
Product Type:	Investment Contract Promissory Note Real Estate Security
Type of Court:	Federal Court
Name of Court:	United States District Court for the Northern District of Georgia
Location of Court:	Atlanta, GA
Docket/Case #:	1:26-cv-03668-VMC
Employing firm when activity occurred which led to the action:	Not associated with a FINRA member firm during the alleged activity; self-employed through Next Level Wealth Planning, LLC.
Allegations:	The court-appointed Receiver of Drive Planning, LLC filed an ancillary civil complaint against Aaron “AJ” Shanklin, Next Level Wealth Planning, LLC, and numerous other defendants. The Receiver alleges that the defendants acted as agents of Drive Planning and solicited investors to purchase Drive Planning’s R.E.A.L. Opportunity, which the Receiver characterizes as an unregistered investment contract and promissory-note security associated with a Ponzi scheme. The Receiver alleges that Drive Planning paid $170,994.15 in commissions to Next Level Wealth Planning from June 16, 2023 through May 31, 2024 and that those funds were subsequently transferred to Shanklin. The complaint asserts claims for actual fraudulent transfer and constructive fraudulent transfer under the Georgia Uniform Voidable Transactions Act and unjust enrichment under Georgia common

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	law. The Receiver seeks avoidance, recovery and disgorgement of $170,994.15, together with interest, costs, constructive-trust relief and other equitable relief. The action remains pending, and no findings or judgment have been entered against Shanklin.
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	None imposed in connection with this pending civil action.
Broker Statement	This is a pending ancillary receivership recovery action brought by the court-appointed Receiver of Drive Planning, LLC. Shanklin was not named as a defendant in the underlying SEC enforcement action against Drive Planning or its principal. The Receiver seeks recovery of alleged commission payments made by Drive Planning to Next Level Wealth Planning, LLC. No court or regulatory authority has made findings of wrongdoing or entered a judgment against Shanklin relating to the allegations in this action. Shanklin disputes the allegations and intends to vigorously defend the action.

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End of Report

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