

BrokerCheck Report

MICHAEL PAUL WICKS

CRD# 2546082

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**MICHAEL P. WICKS**

CRD# 2546082

Currently employed by and registered with the following Firm(s):

IA SYNERGY INVESTMENT MANAGEMENT LLC

PONTE VEDRA BEACH, FL
CRD# 305961

Registered with this firm since: 02/16/2024

B LPL FINANCIAL LLC

PONTE VEDRA BEACH, FL
CRD# 6413

Registered with this firm since: 03/25/2013

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 15 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

IA PRIVATE ADVISOR GROUP, LLC

CRD# 155216
MORRISTOWN, NJ
10/2023 - 04/2024

IA INDEPENDENT FINANCIAL PARTNERS

CRD# 125112
TAMPA, FL
06/2008 - 02/2019

IA FIFTH THIRD SECURITIES, INC.

CRD# 628
CINCINNATI, OH
12/2012 - 02/2013

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Criminal	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 15 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/25/2013

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/01/2013
B	Arizona	Agent	Approved	04/11/2013
B	California	Agent	Approved	03/26/2013
B	Florida	Agent	Approved	03/26/2013
B	Georgia	Agent	Approved	03/27/2013
B	Kansas	Agent	Approved	09/05/2018
B	Maryland	Agent	Approved	03/27/2013
B	Massachusetts	Agent	Approved	11/12/2014
B	Michigan	Agent	Approved	03/16/2015
B	Missouri	Agent	Approved	03/27/2013
B	New Hampshire	Agent	Approved	08/15/2023
B	North Carolina	Agent	Approved	07/08/2015



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	11/12/2015
B	Tennessee	Agent	Approved	09/15/2017
B	Virginia	Agent	Approved	03/13/2014

Branch Office Locations

LPL FINANCIAL LLC
PONTE VEDRA BEACH, FL

Employment 2 of 2

Firm Name: **SYNERGY INVESTMENT MANAGEMENT LLC**
Main Office Address: **215 NORTH WESTMONTE DRIVE**
ALTAMONTE SPRINGS, FL 32714
Firm CRD#: **305961**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/16/2024

Branch Office Locations

215 NORTH WESTMONTE DRIVE
ALTAMONTE SPRINGS, FL 32714

PONTE VEDRA BEACH, FL



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/15/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/13/1994

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/10/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2023 - 04/2024	PRIVATE ADVISOR GROUP, LLC	155216	Ponte Vedra Beach, FL
IA 06/2008 - 02/2019	INDEPENDENT FINANCIAL PARTNERS	125112	PONTE VEDRA BEACH, FL
IA 12/2012 - 02/2013	FIFTH THIRD SECURITIES, INC.	628	MAITLAND, FL
B 12/2012 - 02/2013	FIFTH THIRD SECURITIES, INC.	628	MAITLAND, FL
B 09/2009 - 12/2012	LPL FINANCIAL LLC	6413	PONTE VEDRA BEACH, FL
B 05/2008 - 09/2009	MUTUAL SERVICE CORPORATION	4806	PONTE VEDRA BEACH, FL
B 10/1999 - 05/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ORLANDO, FL
IA 10/1999 - 05/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ORLANDO, FL
B 10/1999 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 10/1994 - 10/1999	W. S. GRIFFITH & CO., INC.	10410	HARTFORD, CT

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
02/2024 - Present	SYNERGY INVESTMENT MANAGEMENT, LLC	WEALTH STRATEGIST	Y	PONTE VEDRA BEACH, FL, United States
03/2013 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	PONTE VEDRA BEACH, FL, United States
09/2018 - 02/2024	Private Advisor Group, LLC	Investment advisor representative	Y	Ponte Vedra Beach, FL, United States
05/2008 - 01/2019	INDEPENDENT FINANCIAL PARTNERS	INVESTMENT ADVISER REPRESENTATIVE	Y	PONTE VEDRA BEACH, FL, United States



Registration and Employment History

Employment History, continued

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) 03/26/2024 - Synergy Investment Management, LLC - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 03/01/2024 - 20 Hours Per Month/ During Trading - I provide investment advisory services thru Synergy Investment Management, LLC, an independent investment advisor firm. I started this business activity in 3/2024. I expect to spend approximately 20 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

2) 06/06/2024 - Synergy Wealth Alliance - Inv Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started: 3/1/2024 - 0 Hrs/Mo.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/25/2023
Docket/Case Number:	114927-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Private Advisor Group, LLC
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/25/2023

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$30,000.00

Portion Levied against individual:

\$30,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

10/25/2023

Was any portion of penalty waived?

No

Amount Waived:

Regulator Statement

On October 25, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Michael Paul Wicks (Wicks). Wicks neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Wicks violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Wicks agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$30,000. The Office agreed to approve Wicks' application as an associated person (RA) with Private Advisor Group, LLC effective October 25, 2023.

Reporting Source:

Firm

Regulatory Action Initiated By:

STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION



Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/25/2023
Docket/Case Number:	114927
Employing firm when activity occurred which led to the regulatory action:	Private Advisor Group, LLC
Product Type:	No Product
Allegations:	Failure to register
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	10/25/2023
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	No
(2) willfully aided, abetted,	No



counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	Paid
Is Payment Plan Current:	



Date Paid by individual: 10/25/2023

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Broker

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 10/25/2023

Docket/Case Number: 114927-SR

Employing firm when activity occurred which led to the regulatory action: Private Advisor Group, LLC

Product Type: No Product

Allegations: Rendered investment advice, from a location within Florida, without being registered by the Office.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/25/2023

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$30,000.00



Portion Levied against individual: \$30,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	TALLAHASSEE POLICE DEPARTMENT R9302147ANOO1
Charge Date:	07/29/1993
Charge Details:	CHARGED WITH AGGRAVATED BATTERY AND RESISTING ARREST W/O VIOLENCE
Felony?	Yes
Current Status:	Final
Status Date:	10/08/1993
Disposition Details:	CHARGE WAS REDUCED TO SIMPLE BATTERY \$240 PROBATION FEES, \$150 COURT COSTS, 2 DAYS ON THE WORK PROGRAM \$25 WORK PROGRAM FEE \$2 MONTHS PROBATION.
Broker Statement	Not Provided

End of Report



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