

**Thomas O’Gorman**  
CRD # 6486292

**AP Wealth Management, LLC**  
1100 Frazier Drive  
Augusta, Ga 30909  
706 364-4281

03/07/2018

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Thomas O’Gorman that supplements the AP Wealth Management brochure. You should have received a copy of that brochure. Please contact William Patrick Fair, Chief Compliance Officer, if you did not receive AP Wealth Management’s brochure or if you have any questions about the contents of this supplement.

Additional information about Thomas O’Gorman is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## **ITEM 2 Educational Background and Business Experience**

Form ADV Part 2B, Item 2

**Name**

*Year of Birth:* 1962

*Formal Education after High School:*

- Fairfield University, Fairfield, Ct., BA, Economics, 1984
- NYU Stern School of Business, MBA – Finance and International Business, 1991

*Business Background for the Previous Five Years:*

- AP Wealth Management, Financial Advisor, 08/2016 - Present
- Equus Management, Financial Advisor, 06/2012 – 08/2016
- C.O. Investment, Financial Advisor, 03/2001 – 06/2012

### **ITEM 3 Disciplinary Information**

Form ADV Part 2B, Item 3

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person

1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. was found to have been involved in a violation of an investment-related statute or regulation; or
4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

None

B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
  - (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
  - (b) barring or suspending the supervised person's association with an investment-related business;
  - (c) otherwise significantly limiting the supervised person's investment-related activities; or
  - (d) imposing a civil money penalty of more than \$2,500 on the supervised person.

None

C. A self-regulatory organization (SRO) proceeding in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

None

D. Any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. If the supervised person resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a proceeding (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

None

**ITEM 4 Other Business Activities**

Form ADV Part 2B, Item 4

Thomas O’Gorman is engaged in no other business activities.

***ITEM 5 Additional Compensation***

Form ADV Part 2B, Item 5

Thomas does not receive any economic benefit for providing advisory services from anyone who is not a client.

### ***ITEM 6 Supervision***

Form ADV Part 2B, Item 6

John Parker Rhodes, Chief investment officer, and William Patrick Fair, Chief Compliance Officer, 706 364-4281 monitor the advice that Thomas provides to clients. John and William regularly review all accounts and receive daily reports of activities in client accounts.

**William Patrick Fair**  
CRD # 4243098

**AP Wealth Management, LLC**  
1100 Frazier Drive  
Augusta, Ga 30909  
706 364-4281

03/07/2018

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about William Patrick Fair that supplements the AP Wealth Management brochure. You should have received a copy of that brochure. Please contact Eugene Francis McManus, Managing Member, if you did not receive AP Wealth Management's brochure or if you have any questions about the contents of this supplement.

Additional information about William Patrick Fair is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



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## **ITEM 2 Educational Background and Business Experience**

Form ADV Part 2B, Item 2

### **Name**

*Year of Birth:* 1965

### *Formal Education after High School:*

- Georgia Institute of Technology, Bachelor of Science, Management, 1988
- Augusta State University, MBA, 1997

### *Business Background for the Previous Five Years:*

- Augusta Capital Investors, Chief Compliance Officer, 11/2013 – present
- Augusta Capital Management, Chief Compliance Officer, 11/2013 - present
- AP Wealth Management, Chief Compliance Officer, 01/2011 – present
- LPL Financial, Registered Representative, 7/2010 – 9/2013
- First Citizens Securities, Financial Adviser, 01/2009 – 07/2010
- Wachovia Securities, Financial Adviser, 06/2005 – 01/2009

### *Certifications:*

- Certified Financial Planner practitioner; Must complete course of study, agree to the CFP board's code of ethics, and complete 30 hours of continuing education every two years.

### **ITEM 3 Disciplinary Information**

Form ADV Part 2B, Item 3

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person

1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. was found to have been involved in a violation of an investment-related statute or regulation; or
4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

None

B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
  - (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
  - (b) barring or suspending the supervised person's association with an investment-related business;
  - (c) otherwise significantly limiting the supervised person's investment-related activities; or
  - (d) imposing a civil money penalty of more than \$2,500 on the supervised person.

None

C. A self-regulatory organization (SRO) proceeding in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

None

D. Any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. If the supervised person resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a proceeding (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

None

#### ***ITEM 4 Other Business Activities***

Form ADV Part 2B, Item 4

William is insurance licensed in Georgia and South Carolina. He receives commissions for the sale of life insurance, disability insurance and long term care insurance. This may create a conflict of interest when making financial recommendations for clients.

William owns 25% of Augusta Capital Investors, LLC; a registered investment adviser providing investment management services and acting as general partner to the Augusta Fund (a private equity fund).

***ITEM 5 Additional Compensation***

Form ADV Part 2B, Item 5

William does not receive any economic benefit for providing advisory services from anyone who is not a client.

### ***ITEM 6 Supervision***

Form ADV Part 2B, Item 6

John Parker Rhodes, Chief investment officer, 706 364-4281 monitors the advice that William provides to clients. John regularly reviews all accounts and receives daily reports of activities in client accounts.

**Eugene Francis McManus**  
CRD # 4666516

**AP Wealth Management**

1100 Frazier Drive  
Augusta, Ga 30909  
706 364-4281

03/07/2018

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Eugene Francis McManus that supplements the AP Wealth Management brochure. You should have received a copy of that brochure. Please contact William Patrick Fair, Chief Compliance Officer, if you did not receive AP Wealth Management's brochure or if you have any questions about the contents of this supplement.

Additional information about Eugene Francis McManus is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## **ITEM 2 Educational Background and Business Experience**

Form ADV Part 2B, Item 2

### **Name**

*Year of Birth:* 1962

### *Formal Education after High School:*

- Clemson University, Accounting, Bachelor of Science, 1985

### *Business Background for the Previous Five Years:*

- Augusta Capital Investors, Member, 07/2013 - present
- AP Wealth Management, Managing Member, 01/2011 - present
- LPL Financial, Registered Representative, 7/2011 – 7/2012
- McManus & Sinclair Wealth Mgt, Managing Member, 06/2007 – 04/2011
- Eugene F McManus CPA, Owner, 08/1991 – 12/2009

### *Certifications:*

- Certified Public Accountant, Georgia and South Carolina; Must have undergraduate degree, pass CPA exam, and complete 40 hours of continuing education annually.
- Certified Financial Planner practitioner; Must have designation such as CPA, agree to the CFP board's code of ethics, and complete 30 hours of continuing education every two years.
- Personal Financial Specialist; Must have AICPA designation, pass an annual exam, and meet continuing education requirements.

### **ITEM 3 Disciplinary Information**

Form ADV Part 2B, Item 3

- A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. was found to have been involved in a violation of an investment-related statute or regulation; or
  4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

None

- B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
    - (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
    - (b) barring or suspending the supervised person's association with an investment-related business;
    - (c) otherwise significantly limiting the supervised person's investment-related activities; or
    - (d) imposing a civil money penalty of more than \$2,500 on the supervised person.

None

- C. A self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

None

- D. Any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. If the supervised person resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a proceeding (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

None

**ITEM 4 Other Business Activities**

Form ADV Part 2B, Item 4

Eugene is insurance licensed in Georgia and South Carolina. He receives commissions from the sale of life insurance, disability insurance, and long term care insurance. This may create a conflict of interest when Eugene provides financial advice to clients.

Eugene owns 25% of Augusta Capital Investors, LLC; a registered investment adviser providing investment management services and acting as general partner to the Augusta Fund (a private equity fund).

***ITEM 5 Additional Compensation***

Form ADV Part 2B, Item 5

Eugene does not receive any economic benefit for providing advisory services from anyone who is not a client.

### ***ITEM 6 Supervision***

Form ADV Part 2B, Item 6

John Parker Rhodes and William Patrick Fair, Chief compliance officer, 706 364-4281 monitors the advice that Eugene provides to clients. John and William regularly review all accounts and receives daily reports of activities in client accounts.

**John Parker Rhodes**

CRD # 1570758

**AP Wealth Management, LLC**

1100 Frazier Drive

Augusta, Ga 30909

706 364-4281

03/07/2018

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about John Parker Rhodes that supplements the AP Wealth Management brochure. You should have received a copy of that brochure. Please contact William Patrick Fair, Chief Compliance Officer, if you did not receive AP Wealth Management's brochure or if you have any questions about the contents of this supplement.

Additional information about John Parker Rhodes is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

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## **ITEM 2 Educational Background and Business Experience**

Form ADV Part 2B, Item 2

### **Name**

*Year of Birth:* 1962

### *Formal Education after High School:*

- Georgia Institute of Technology, Bachelor of Science, Industrial Management, 1984

### *Business Background for the Previous Five Years:*

- Augusta Capital Investors, Managing Member, 07/2013 to present
- AP Wealth Management, Chief Investment Officer, 01/2011 to present
- Augusta Capital Management, Registered Investment Advisor, Owner, 2012 to present
- LPL Financial, Registered Representative, 01/2011 to 7/2012
- McManus and Sinclair Wealth Management, Chief Investment Officer, 01/2010 – 04/2011
- Personal Business Activity, 02/2009 – 12/2009
- AGBD, LLC, Managing Director, 10/2007 – 01/2009
- AG Asset Management, LLC, Managing Director, 05/2006 – 01/2009

### **Certifications:**

Chartered Financial Analyst, CFA: To earn a CFA charter, you must have four years of qualified investment work experience, become a member of CFA Institute, pledge to adhere to the CFA Institute Code of Ethics on an annual basis, apply for membership to a local CFA society, and complete the CFA Program.

The CFA Program is organized into three levels, each culminating in a six-hour exam. Completing the program takes most candidates between two and five years (there is no limit to the number of times you can take each exam), but you can take as long as you need to complete the program.



### **ITEM 3 Disciplinary Information**

Form ADV Part 2B, Item 3

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person

1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. was found to have been involved in a violation of an investment-related statute or regulation; or
4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

None

B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
  - (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
  - (b) barring or suspending the supervised person's association with an investment-related business;
  - (c) otherwise significantly limiting the supervised person's investment-related activities; or
  - (d) imposing a civil money penalty of more than \$2,500 on the supervised person.

None

C. A self-regulatory organization (SRO) proceeding in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

None

D. Any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. If the supervised person resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a proceeding (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

None

**ITEM 4 Other Business Activities**

Form ADV Part 2B, Item 4

John is sole owner of Augusta Capital Management, LLC; a registered investment adviser providing investment management and consulting services to institutional clients.

John owns 25% of Augusta Capital Investors, LLC; a registered investment adviser providing investment management services and acting as general partner to the Augusta Fund (a private equity fund).

***ITEM 5 Additional Compensation***

Form ADV Part 2B, Item 5

John does not receive any economic benefit for providing advisory services from anyone who is not a client.

### ***ITEM 6 Supervision***

Form ADV Part 2B, Item 6

Eugene F McManus, Member, and William Patrick Fair, Chief Compliance Officer, 706 364-4281 monitor the advice that John Rhodes provides to clients. Eugene and William regularly review all accounts and receive daily reports of activities in client accounts.