



## IAPD Report

# CHARLES GILBERT MATON

CRD# 1018979

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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

### CHARLES GILBERT MATON (CRD# 1018979)

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 **09/03/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STONEX SECURITIES INC.	CRD# 18456	12/11/1986
<b>IA</b>	CG MATON ADVISORY, INC.	CRD# 127277	06/12/2003

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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>B</b>	PLANVEST CAPITAL CORPORATION	14849	LOCATION	07/22/1986 - 01/19/1987
<b>B</b>	PILOT FINANCIAL SERVICES, INC.	7838	LOCATION	03/12/1985 - 08/12/1986
<b>B</b>	THE PRUDENTIAL INSURANCE COMPANY OF 680 AMERICA		LOCATION	04/20/1982 - 03/12/1985

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
Regulatory Event	1
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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 18456

Regulator	Registration	Status	Date
<b>B</b> FINRA	Financial and Operations Principal	Approved	12/11/1986
<b>B</b> FINRA	General Securities Principal	Approved	12/11/1986
<b>B</b> FINRA	General Securities Representative	Approved	12/11/1986
<b>B</b> FINRA	Registered Options Principal	Approved	01/20/1987
<b>B</b> FINRA	Municipal Securities Principal	Approved	01/23/1987
<b>B</b> FINRA	Municipal Securities Representative	Approved	01/23/1987
<b>B</b> FINRA	Operations Professional	Approved	10/01/2018
<b>B</b> California	Agent	Approved	12/08/2009
<b>B</b> Florida	Agent	Approved	07/03/2014
<b>B</b> Georgia	Agent	Approved	12/08/1986
<b>B</b> Illinois	Agent	Approved	02/21/2019
<b>B</b> Maine	Agent	Approved	02/16/2022
<b>B</b> Missouri	Agent	Approved	06/27/2014



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nevada	Agent	Approved	10/14/2005
<b>B</b> Oregon	Agent	Approved	07/27/2025
<b>B</b> Virginia	Agent	Approved	07/17/2018
<b>B</b> Washington	Agent	Approved	09/03/2025

### Branch Office Locations

2402 ABBEY COURT  
ALPHARETTA, GA 30004

### Employment 2 of 2

Firm Name: **CG MATON ADVISORY, INC.**  
 Main Address: 2402 ABBEY COURT  
 ALPHARETTA, GA 30004  
 Firm ID#: 127277

Regulator	Registration	Status	Date
<b>IA</b> Colorado	Investment Adviser Representative	Approved	02/21/2025
<b>IA</b> Georgia	Investment Adviser Representative	Approved	06/12/2003

### Branch Office Locations

**CG MATON ADVISORY, INC.**  
2402 ABBEY COURT  
ALPHARETTA, GA 30004







## 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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/21/1987
 Registered Options Principal Examination (S4)	Series 4	01/19/1987
 Financial and Operations Principal Examination (S27)	Series 27	12/01/1986
 General Securities Principal Examination (S24)	Series 24	10/08/1986

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	12/20/1989
 General Securities Representative Examination (S7)	Series 7	10/15/1983
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/03/1982

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/29/2017



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/1987

### 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 & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/22/1986 - 01/19/1987	PLANVEST CAPITAL CORPORATION	CRD# 14849	
B	03/12/1985 - 08/12/1986	PILOT FINANCIAL SERVICES, INC.	CRD# 7838	
B	04/20/1982 - 03/12/1985	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	
B	02/21/1982 - 02/27/1985	PRUCO SECURITIES CORPORATION	CRD# 5685	
B	07/11/1983 - 09/27/1983	LABREC SECURITIES, INC.	CRD# 10473	

### 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
01/2002 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
07/1989 - Present	CG MATON ADVISORY, INC.	INVESTMENT ADVISOR REPRESENTATIVE/C HIEF COMPLIANCE OFFICER	Y	ALPHARETTA, GA, 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.

CG MATON AGENCY, INC | 1402 ABBEY COURT ALPHARETTA, GA 30004 | Nature of Business: DBA- Management Company Insurance Services | Owner/President | Duties: Company used to run the branch office and employee compensation | Start Date: 7/1/1989 | 5hrs/month | 5hrs/ month during market hrs



## 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
Regulatory Event	1
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/27/1988
<b>Docket/Case Number:</b>	ATL-965-AWC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	INVESTTECH CAPITAL CORPORATION
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	06/27/1988
<b>Sanctions Ordered:</b>	Monetary/Fine \$250.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	
<b>Regulator Statement</b>	ON JUNE 27, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT



NO. ATL-965-AWC (DISTRICT NO. 7) SUBMITTED BY RESPONDENTS  
INVESTTECH CAPITAL CORPORATION AND CHARLES GILBERT MATON WAS  
ACCEPTED; THEREFORE, THEY ARE FINED \$250.00, JOINTLY AND  
SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE  
- FILED THE FOCUS PART I REPORT FOR MONTH END JANUARY, 1988 FOUR  
DAYS LATE). \*\*\*\*\* \$250.00 PAID J&S 9-16-88.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/27/1988

**Docket/Case Number:** ATL-965-AWC

**Employing firm when activity occurred which led to the regulatory action:** INVESTTECH CAPITAL CORPORATION

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/27/1988

**Sanctions Ordered:** Monetary/Fine \$250.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Broker Statement** CHARLES G. MATON WAS FINED \$250.00 FOR FILING LATE FOCUS REPORT BY THE NASD ON 3/1/88.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	STERNE AGEE FINANCIAL SERVICES, INC.
<b>Allegations:</b>	COMPLAINT ALLEGES IMPROPER PROVISION OF INVESTMENT ADVICE AND SERVICES PLUS UNSUITABLE INVESTMENTS.
<b>Product Type:</b>	Equity - OTC
<b>Other Product Type(s):</b>	MUTUAL FUNDS
<b>Alleged Damages:</b>	\$86,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/06/2005
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation Litigation
<b>Status Date:</b>	09/14/2005
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD DISPUTE RESOLUTION CASE NO. 05-04777
<b>Date Notice/Process Served:</b>	09/19/2005
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	04/20/2006
<b>Monetary Compensation Amount:</b>	\$105,000.00
<b>Individual Contribution Amount:</b>	\$105,000.00

### Civil Litigation Information

<b>Court Details:</b>	SUPERIOR COURT, FULTON COUNTY, GEORGIA. CIVIL ACTION NUMBER 2005-CU-106027
<b>Date Notice/Process Served:</b>	09/14/2005
<b>Litigation Pending?</b>	No



**Disposition:** Dismissed  
**Disposition Date:** 04/20/2006  
**Broker Statement** REPRESENTATIVE DID NOT ADMIT TO ANY WRONGDOING. CASE WAS SETTLED TO AVOID FURTHER CONTROVERSY AND EXPENSE.

### Disclosure 2 of 2

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY

**Product Type:**

**Alleged Damages:** \$30,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #96-00011](#)

**Date Notice/Process Served:** 01/12/1996

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 10/29/1996

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$10,000.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** NOT PROVIDED

**Product Type:**

**Alleged Damages:** \$30,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation



**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:**

[NATIONAL ASSOC. OF SECURITIES DEALERS; 96-00011](#)

**Date Notice/Process Served:** 01/12/1996

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 10/29/1996

**Monetary Compensation Amount:** \$10,000.00

**Individual Contribution Amount:**

**Broker Statement**

IN EXECUTIVE FORUM OF THE ABOVE REFERENCED ARBITRATION HEARING, THE ARBITRATORS GRANTED MY MOTION TO BE DISMISSED IN ENTIRETY FROM THIS ARBITRATION DUE TO THE LACK OF CLAIMANTS CAUSE OF ACTION AGAINST ME. I WAS DISMISSED WITHOUT ANY PAYMENT, PENALTY, ETC. THE RULING OF THE THREE ARBITRATORS IN THE ABOVE ACTION CLEARLY SUPPORTS MY CLAIM THAT THIS ACTION BROUGHT AGAINST ME WAS BOTH FRIVILIOUS AND SPECIES IN NATURE. AS PREVIOUSLY REPORTED BY ME, MS. [CUSTOMER]TESTIFIED, UNDER OATH, THAT SHE HAD NO RELATIONSHIP WITH ME WHATSOEVER IN THIS MATTER, NOR HAD SHE EVER MET ME, OR HAD ANY COMMUNICATION WITH ME UNTIL THE TIME OF THIS CLAIM.



## End of Report

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