



IAPD Report

RIX CARLTON SMITH

CRD# 1061442

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 5
Registration and Employment History	7 - 8
Disclosure Information	9

i 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

RIX CARLTON SMITH (CRD# 1061442)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DOMINION PORTFOLIO MANAGEMENT, INC.	CRD# 106918	03/06/1996
IA	GQO INVESTMENT ADVISORS, INC.	CRD# 118002	01/28/2021
B	CALTON & ASSOCIATES, INC.	CRD# 20999	07/02/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	DOMINION INVESTOR SERVICES, INC.	21548	MARBLE FALLS, TX	01/02/1991 - 12/20/2024
B	T.L. REED SECURITIES, INC.	19875	MARBLE FALLS, TX	01/13/1989 - 12/31/1990
B	UNDERWOOD, NEUHAUS & CO., INCORPORATED	839	MARBLE FALLS, TX	08/21/1985 - 01/04/1989

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	1



Report Summary



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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **CALTON & ASSOCIATES, INC.**
Main Address: 2701 N. ROCKY POINT DRIVE
SUITE 1000
TAMPA, FL 33607
Firm ID#: 20999

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/02/2023
B	FINRA	General Securities Representative	Approved	07/02/2023
B	FINRA	Municipal Securities Principal	Approved	07/02/2023
B	FINRA	Municipal Securities Representative	Approved	07/02/2023
B	FINRA	Operations Professional	Approved	07/02/2023
B	FINRA	Registered Options Principal	Approved	07/02/2023
B	California	Agent	Approved	07/05/2023
B	Michigan	Agent	Approved	08/14/2023
B	Texas	Agent	Approved	07/04/2023

Branch Office Locations

CALTON & ASSOCIATES, INC.
1002 Marble Heights Drive
Suite 101
Marble Falls, TX 78654

Employment 2 of 3

Firm Name: **GQO INVESTMENT ADVISORS, INC.**



Qualifications

Main Address: 1002 MARBLE HEIGHTS DRIVE
SUITE 101
MARBLE FALLS, TX 78654

Firm ID#: 118002

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/28/2021

Branch Office Locations

GQO INVESTMENT ADVISORS, INC.

9000 HIGHWAY 2147 WEST
SUITE 201
HORSESHOE BAY, TX 78657

Employment 3 of 3

Firm Name: **DOMINION PORTFOLIO MANAGEMENT, INC.**

Main Address: 1002 MARBLE HEIGHTS DR
SUITE 101
MARBLE FALLS, TX 78654

Firm ID#: 106918

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/06/1996

Branch Office Locations

DOMINION PORTFOLIO MANAGEMENT, INC.

1002 Marble Heights Dr.
Ste 101
Marble Falls, TX 78654






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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	04/16/1999
 Municipal Securities Principal Examination (S53)	Series 53	08/18/1993
 General Securities Principal Examination (S24)	Series 24	07/02/1992

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/21/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/17/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1982



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	01/02/1991 - 12/20/2024	DOMINION INVESTOR SERVICES, INC.	CRD# 21548	MARBLE FALLS, TX
B	01/13/1989 - 12/31/1990	T.L. REED SECURITIES, INC.	CRD# 19875	
B	08/21/1985 - 01/04/1989	UNDERWOOD, NEUHAUS & CO., INCORPORATED	CRD# 839	
B	10/01/1982 - 08/22/1985	THOMSON MCKINNON SECURITIES INC.	CRD# 829	
B	08/26/1982 - 02/12/1985	SCHNEIDER, BERNET & HICKMAN, INC.	CRD# 750	

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
08/2023 - Present	DOMINION PORTFOLIO MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	MARBLE FALLS, TX, United States
07/2023 - Present	Calton & Associates, Inc	Branch Manager / Financial Professional	Y	Marble Falls, TX, United States
01/2021 - Present	GQO INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States
01/1991 - Present	DOMINION INVESTOR SERVICES, INC.	PRESIDENT & CEO/GENERAL SECURITIES-OPTIONS-MUNICIPAL PRINCIPALS/REGISTERED REPRESENTATIVE/DIRECTOR	Y	SAN ANTONIO, TX, United States
05/1995 - 08/2023	DOMINION PORTFOLIO MANAGEMENT, INC.	PRESIDENT, DIRECTOR	Y	MARBLE FALLS, TX, United States



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.

1. PRESIDENT/DIRECTOR OF DOMINION FINANCIAL SERVICES, INC.
2. PRESIDENT OF GQO INVESTMENT ADVISORS, INC.
3. Dominion Investor Services, Inc; CEO; No longer an operating company but still exists as an entity until the appropriate time when the company can be closed, estimating in 2026.
4. City of Marble Falls; Non-Investment related; 800 3rd Street, Marble Falls, TX 78654; City Council Member; Start Date: 5/15/2026; Hours/month: 20; Hours/month during securities trading hours: 10; City Management.



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	1

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/19/2000
Docket/Case Number:	C05000061
Employing firm when activity occurred which led to the regulatory action:	DOMINION INVESTOR SERVICES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	01-04-01, NASD RULES 2110 AND 3070(C) - A MEMBER FIRM, ACTING THROUGH SMITH, FAILED TO REPORT TO THE NASD STATISTICAL AND SUMMARY INFORMATION REGARDING CUSTOMER COMPLAINTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/19/2000
Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	FINED \$5,000, JOINTLY AND SEVERALLY



03-08-01, %5,000 PAID J&S ON 1/04/01.

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION, INC.

Sanction(s) Sought: Other

Other Sanction(s) Sought: MONETARY FINE OF \$5,000

Date Initiated: 10/09/2000

Docket/Case Number: C05000061

Employing firm when activity occurred which led to the regulatory action: DOMINION INVESTOR SERVICES INC

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO REPORT STATISTICAL AND SUMMARY INFORMATION REGARDING 7 CUSTOMERS COMPLAINTS PURSUANT TO CONDUCT RULE 3070(C).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/19/2000

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: A \$5,000 MONETARY FINE WAS IMPOSED JOINTLY AND SEVERALLY AGAINST THE FIRM AND MYSELF. THE FINE WAS PAID ON 12/30/2000.

Broker Statement NASD REGULATION ACCEPTED AND EXECUTED THE ACCEPTANCE, WAIVER AND CONSENT.



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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DOMINION INVESTOR SERVICES, INC.

Allegations: CUSTOMER ALLEGES THAT HIS ORDER TO SELL 2000 SHARES OF A STOCK (JNIC) ON 11/16/99 WAS NOT EXECUTED CAUSING A LOSS OF \$20,000. THE FIRM MAINTAINS THAT IT RECEIVED AND EXECUTED AN ORDER TO SELL 240 SHARES OF JNIC. CUSTOMER ALSO ALLEGES THAT ADDITIONAL SHARES OF JNIC WERE SOLD WITHOUT HIS PERMISSION. SINCE THE CUSTOMER NEVER PROPERLY PAID FOR THE 2000 SHARES, THE CLEARING FIRM TOOK MARKET ACTION AND ORDERED THAT 861 SHARES BE SOLD.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 11/16/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/28/2000

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER'S COMPLAINT IS FALSE. MR. SMITH WAS NOT AND NEVER HAS BEEN CUSTOMER'S REPRESENTATIVE OF RECORD. MR. SMITH HAS NEVER EVEN SPOKEN TO CUSTOMER. MR. SMITH'S ONLY COMMUNICATION WITH CUSTOMER WAS THE WRITTEN CORRESPONDENCE EXCHANGED RELATIVE TO THIS COMPLAINT. CUSTOMER'S REGISTERED REPRESENTATIVE WAS TONY MILLER. THE CIRCUMSTANCES OF THE COMPLAINT REVOLVED AROUND CUSTOMER'S FAILURE TO PROPERLY PAY FOR THE PURCHASE OF THE SECURITIES IN QUESTION.



End of Report

This page is intentionally left blank.