



IAPD Report

ARCHESTER L NEIL

CRD# 1331150

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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

ARCHESTER L NEIL (CRD# 1331150)

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 **11/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CALTON & ASSOCIATES, INC.	CRD# 20999	04/18/2022
IA	CALTON & ASSOCIATES, INC.	CRD# 20999	04/21/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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
IA	SAGEPOINT FINANCIAL, INC.	133763	JACKSONVILLE BEACH, FL	03/07/2019 - 12/03/2021
B	SAGEPOINT FINANCIAL, INC.	133763	JACKSONVILLE BEACH, FL	03/01/2019 - 12/03/2021
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	JACKSONVILLE, FL	04/28/2017 - 10/17/2017

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
Criminal	1



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

Employment 1 of 1

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	Invest. Co and Variable Contracts	Approved	04/18/2022
B	Florida	Agent	Approved	04/19/2022
IA	Florida	Investment Adviser Representative	Approved	04/21/2022
B	Georgia	Agent	Approved	04/19/2022

Branch Office Locations

CALTON & ASSOCIATES, INC.
Jacksonville, FL

CALTON & ASSOCIATES, INC.
2320 Third Street S
Suite 4
Jacksonville Beach, FL 32250



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/17/2017
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/14/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/03/2017
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/2016



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
IA	03/07/2019 - 12/03/2021	SAGEPOINT FINANCIAL, INC.	CRD# 133763	JACKSONVILLE BEACH
B	03/01/2019 - 12/03/2021	SAGEPOINT FINANCIAL, INC.	CRD# 133763	JACKSONVILLE BEACH
IA	04/28/2017 - 10/17/2017	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	JACKSONVILLE, FL
B	05/05/2015 - 10/17/2017	PRUCO SECURITIES, LLC.	CRD# 5685	JACKSONVILLE, FL
B	06/20/2006 - 12/02/2014	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	JACKSONVILLE BEACH
B	01/18/1985 - 05/31/2006	SECURITIES MANAGEMENT & RESEARCH, INC.	CRD# 759	CEDAR RAPIDS, IA

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
04/2022 - Present	Calton & Associates, Inc.	Registered Representative	Y	Jacksonville, FL, United States
05/2005 - Present	NEIL AGENCY INC	OWNER/AGENT	N	JACKSONVILLE BEACH, FL, United States
02/2019 - 12/2021	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	JACKSONVILLE, FL, United States
03/2015 - 10/2017	PRUCO SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	JACKSONVILLE, FL, United States
03/2015 - 10/2017	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	N	JACKSONVILLE, FL, 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.

1) The Neil Agency, Inc., Is not Investment related, Address: 2320 Third St. S, Suite 4, Jacksonville Beach, FL, 32250. Insurance Agency, Owner/Agent, Started 5/1/2004, 120 hours per month, 0 hours per month during trading hours, commission



Registration & Employment History



OTHER BUSINESS ACTIVITIES

compensation, Agent of record for multiple lines insurance agency.



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
Criminal	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:	Individual
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	Revocation
Date Initiated:	01/10/1980
Docket/Case Number:	NA
Employing firm when activity occurred which led to the regulatory action:	M&M INSURANCE AGENCY DBA CASSAT AVE INSURANCE AGENCY
Product Type:	Insurance
Allegations:	IN EARLY 1980 I HAD ALL LICENSES TO SELL INSURANCE REVOKED FOR TWO YEARS. AS THE AGENT I WAS RESPONSIBLE FOR PIGGYBACKING THAT OCCURED AT THE AGENCY.
Current Status:	Final
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/01/1980
Sanctions Ordered:	Revocation

**Broker Statement**

IN JULY OF 1980, NEIL HELD LICENSES FOR THE SOLICITATION OF LIFE, HEALTH, PROPERTY AND CASUALTY INSURANCE ISSUED BY THE INSURANCE DEPARTMENT OF THE STATE OF FLORIDA. THROUGH AN ADMINISTRATIVE ACTION OF THE INSURANCE COMMISSIONER, NEIL'S LICENSES AND HIS ELIGIBILITY FOR SUCH LICENSES WERE REVOKED FOR A PERIOD TWO YEARS. THIS ACTION RESULTED FROM HIS EMPLOYMENT AS LICENSED AGENT OF M & M INSURANCE AGENCY (DBA CASSAT AVE. INSURANCE AGENCY) FROM JULY UNTIL FEBRUARY OF 1980. THERE WERE CHARGES OF "PIGGYBACK" AGAINST THE OWNERS AND OTHER EMPLOYEES OF THIS AGENCY. AS THE LICENSED AGENT, NEIL WAS HELD ACCOUNTABLE FOR THESE VIOLATIONS. IN LATE JULY THE ADMINISTRATIVE ACTION WAS ENFORCED. AFTER SATISFYING THE STIPULATIONS OF THIS ACTION, NEIL WAS RELICENSED WITH THE INSURANCE DEPARTMENT IN AUGUST OF 1983.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: State Court

Name of Court: CIRCUIT COURT

Location of Court: PINELLAS COUNTY, FL

Docket/Case #: 71969792

Charge Date: 04/01/1971

Charge(s) 1 of 1

Formal Charge(s)/Description: SALE AND POSSESSION OF MARIJUANA

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: NO CONTEST

Disposition of charge: AJUDICATION WITHHELD AND PLACED ON THREE YEARS PROBATION.

Current Status: Final

Status Date: 05/02/1971

Disposition Date: 06/22/1971

Sentence/Penalty: ON MAY 2, 1971, NEIL WAS ORDERED BY THE CIRCUIT COURT OF PINELLAS COUNTY, FLORIDA TO SERVE THREE YEARS PROBATION. THIS ORDER WAS THE RESULT OF CHARGES OF SALE AND POSSESSION OF MARIJUANA TO WHICH HE PLED GUILTY. ADJUDICATION WAS WITHHELD WITH THE CONDITION THAT NEIL SERVE PROBATION. HE CONTINUED AS A STUDENT AT ST. PETERSBURG JR. COLLEGE AND IN 1973, HE TRANSFERRED HIS PROBATION TO DUVAL COUNTY, FLORIDA. IN JULY OF 1974, NEIL SUCCESSFULLY COMPLETED HIS PROBATION AND GRADUATED FROM THE UNIVERSITY OF NORTH FLORIDA IN JACKSONVILLE, FLORIDA IN DECEMBER OF 1975.

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End of Report

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