



IAPD Report

GREGORY CARL MAYES

CRD# 1422375

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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

GREGORY CARL MAYES (CRD# 1422375)

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 **06/20/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVISORY ALPHA, LLC	CRD# 158282	09/09/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	PLANNERS ALLIANCE	290575	NAMPA, ID	02/15/2018 - 09/15/2020
IA	ALPHASTAR CAPITAL MANAGEMENT, LLC	157423	NAMPA, ID	11/15/2012 - 02/16/2018
IA	ING FINANCIAL PARTNERS, INC	2882	NAMPA, ID	02/20/2008 - 11/14/2012

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
Customer Dispute	3



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ADVISORY ALPHA, LLC**
Main Address: 348 S WAVERLY RD
SUITE 100
HOLLAND, MI 49423
Firm ID#: 158282

	Regulator	Registration	Status	Date
	Idaho	Investment Adviser Representative	Approved	09/09/2020

Branch Office Locations

ADVISORY ALPHA, LLC
5660 E. Franklin Road
Suite 130
Nampa, ID 83687



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

04/19/1996



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	02/15/2018 - 09/15/2020	PLANNERS ALLIANCE	CRD# 290575	NAMPA, ID
IA	11/15/2012 - 02/16/2018	ALPHASTAR CAPITAL MANAGEMENT, LLC	CRD# 157423	NAMPA, ID
IA	02/20/2008 - 11/14/2012	ING FINANCIAL PARTNERS, INC	CRD# 2882	NAMPA, ID
IA	06/02/2004 - 02/08/2008	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	NAMPA, ID
IA	01/01/2001 - 06/16/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	NAMPA, ID

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
09/2020 - Present	Advisory Alpha, LLC	Investment Adviser Representative	Y	Holland, MI, United States
01/2015 - Present	Mayes Financial, LLC	Owner	Y	Nampa, ID, United States
02/2018 - 09/2020	PLANNERS ALLIANCE LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HOLLAND, MI, United States
11/2012 - 02/2018	ALPHASTAR CAPITAL MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	CORNELIUS, NC, United States
03/2000 - 05/2016	PREMIER ALLIANCE PROPERTY & CASUALTY INC	OWNER/OFFICER	N	NAMPA, ID, United States
01/1997 - 05/2016	PREMIER ALLIANCE LLC	AGENT/OWNER	Y	NAMPA, ID, 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) Mayes Financial, LLC; Investment-related; 5660 E. Franklin Road, Suite 130, Nampa, ID 83687; Life insurance, annuities,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

LTC, DI; Owner; 01/2015; Approx. 160 hours/month; Approx. 8 hours/month during trading hours; General financial services.

(2) Greg Mayes; Investment-related; 5660 E. Franklin Road, Suite 130, Nampa, ID 83687; Life insurance, annuities, LTC, DI; Licensed insurance agent; 01/1991; Approx. 160 hours/month as Owner of Mayes Financial, LLC; Approx. 8 hours/month during trading hours as Owner of Mayes Financial, LLC; General financial services.

(3) Better Business Bureau: Northwest + Pacific; Not investment-related; 12639 West Explorer Drive Boise, ID 83713; Nonprofit Organization; Board Member; 05/2015; Approx. 2 hours/month; Approx. 1 hour/month during trading hours; Attend quarterly board meetings and quarterly events for the BBB.

(4) Cake Partnership, LLC; Not Investment-related; 17715 Sedona Way Cornelius, NC 28078; Cake Partnership provides support for insurance agents and agencies; Member; 02/2021; Approx. less than 5 hours/month; Approx. less than 5 hours/month during trading hours; Duties - None.



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES INC
Allegations:	CLIENT ALLEGES THEY BOUGHT THE CONTRACTS BECAUSE THE REPRESENTATIVE TOLD THEM IT WOULD BE PROTECTED FROM CREDITORS. THEY HAVE NOW DISCOVERED THAT THE CREDITOR PROTECTION BENEFITS DISCUSSED MAY HAVE LIMITATIONS AND MAY NOT BE 100%.
Product Type:	Insurance
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM COULD NOT MAKE A DETERMINATION OF THE DAMAGE AMOUNT.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/10/2009
Complaint Pending?	No
Status:	Denied



Status Date: 09/08/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE ALLEGATIONS WERE INVESTIGATED BY THE ISSUING VENDOR (AN UNAFFILIATED PARTY) AND WERE FOUND TO BE WITHOUT MERIT. NO EVIDENCE WAS FOUND THAT SUPPORTS THE ALLEGATION THAT THE POLICIES WERE PRESENTED AS PRODUCTS THAT WERE PROTECTED FROM CREDITORS.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PREMIER ALLIANCE/WS GRIFFITH SECURITIES, INC.

Allegations: [CUSTOMERS] CLAIM THE PRODUCTS SOLD TO THEM WERE NOT CLEARLY DISCLOSED AND THE PRODUCTS DO NOT MEET THEIR RISK TOLERANCE AND TIME HORIZONS. THE [CUSTOMERS] ARE ALSO CLAIMING EVIDENCE OF CHURNING.

Product Type: Insurance

Alleged Damages: \$328,055.00

Customer Complaint Information

Date Complaint Received: 10/15/2003

Complaint Pending? No

Status: Settled

Status Date: 03/28/2005

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD#03-08828

Date Notice/Process Served: 01/17/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/28/2005

Monetary Compensation Amount: \$62,500.00

Individual Contribution Amount: \$62,500.00

Broker Statement

A SETTLEMENT WAS REACHED IN ORDER TO RESOLVE AN OUTSTANDING CLAIM. REP. GREG MAYES, REP [OTHER FIRM EMPLOYEE] AND W.S. GRIFFITH SECURITIES COLLECTIVELY PAID \$62,500 IN SETTLEMENT. THERE WAS NO ALLOCATION OF LIABILITY BETWEEN THE PARTIES.

**Disclosure 3 of 3**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WS GRIFFITH SECURITIES, INC.

Allegations: THE CLIENT ALLEGES THAT HIS ORDER TO SELL STOCK WAS NEVER EXECUTED. THE STOCK HAS SUBSEQUENTLY DECLINED IN VALUE.

Product Type: Equity - OTC

Alleged Damages: \$28,260.45

Customer Complaint Information

Date Complaint Received: 07/24/2001

Complaint Pending? No

Status: Settled

Status Date: 03/20/2002

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00



End of Report

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