IAPD Report

Matt Porter

CRD# 1812445

Section Title

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

Matt Porter (CRD# 1812445)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ARKADIOS WEALTH ADVISORS	CRD# 288863	05/25/2018
B	ARKADIOS CAPITAL	CRD# 282710	06/07/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	TRIAD ADVISORS, LLC	25803	New Berlin, WI	02/03/2016 - 05/29/2018
B	TRIAD ADVISORS LLC	25803	New Berlin, WI	01/11/2016 - 05/29/2018
IA	INVESTORS CAPITAL ADVISORY	30613	NEW BERLIN, WI	01/24/2013 - 02/02/2016

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
Termination	1
Judgment/Lien	5

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

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**

Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Firm ID#: 282710

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	06/07/2018
B	Arizona	Agent	Approved	06/07/2018
B	Florida	Agent	Approved	12/08/2021
B	Georgia	Agent	Approved	07/02/2018
B	Illinois	Agent	Approved	07/25/2018
B	North Carolina	Agent	Approved	07/30/2018
B	Ohio	Agent	Approved	06/07/2018
B	South Carolina	Agent	Approved	08/24/2023
B	Texas	Agent	Approved	06/07/2018
B	Wisconsin	Agent	Approved	06/07/2018

Branch Office Locations

New Berlin, WI

Employment 2 of 2

Firm Name: **ARKADIOS WEALTH ADVISORS**

Qualifications

Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Firm ID#: 288863

	Regulator	Registration	Status	Date
IA	Wisconsin	Investment Adviser Representative	Approved	05/25/2018

Branch Office Locations

ARKADIOS WEALTH ADVISORS
14015 W. Meadowshire Dr.
New Berlin, WI 53151

 Report about Matt Porter.

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/21/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/17/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/01/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/03/2016 - 05/29/2018	TRIAD ADVISORS, LLC	CRD# 25803	New Berlin, WI
B	01/11/2016 - 05/29/2018	TRIAD ADVISORS LLC	CRD# 25803	New Berlin, WI
IA	01/24/2013 - 02/02/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	NEW BERLIN, WI
B	01/24/2013 - 02/02/2016	INVESTORS CAPITAL CORP.	CRD# 30613	NEW BERLIN, WI
IA	05/19/2008 - 02/07/2013	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	MINNEAPOLIS, MN
B	04/28/2008 - 02/07/2013	QUESTAR CAPITAL CORPORATION	CRD# 43100	NEW BERLIN, WI
B	03/23/1988 - 03/10/2008	PRUCO SECURITIES, LLC.	CRD# 5685	NEW BERLIN, WI
B	03/23/1988 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

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
05/2018 - Present	Arkadios Capital	Registered Representative	Y	Atlanta, GA, United States
05/2018 - Present	Arkadios Wealth Advisors	Investment Advisor Representative	Y	Atlanta, GA, United States
01/2016 - 05/2018	Triad Advisors, Inc.	Registered Representative and Investment Advisor Representative	Y	Norcross, GA, 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)Matt Porter & Associates;not investment related;14015 W Meadowshire Dr,New Berlin,WI 53151;insurance,fixed annuities,ord. life ins.,LTC;owner;1/2016;15 hrs/month;2 hrs during trading;selling & servicing fixed insurance products
2)N/A;non-investment related;14015 w. meadowshire dr., New Berlin, WI 53151;occasionally sell/buy collectibles;sell/buy collectibles;1970;2 hrs/month;0 hrs during trading;buy/sell collectibles

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
Termination	1
Judgment/Lien	5

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:	Firm
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES, LLC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE TOOK $10,700.00 FROM HIS WIFE POLICY.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	no damage amount is alleged
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:	06/01/2016
Complaint Pending?	No
Status:	Denied

Status Date: 06/21/2016

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES, LLC.

Allegations: CLIENT ALLEGES THAT THE REPRESENTATIVE TOOK $10,700.00 FROM HIS WIFE POLICY.

Product Type: Insurance

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): no damage amount is alleged

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: 06/01/2016

Complaint Pending? No

Status: Denied

Status Date: 06/21/2016

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: QUESTAR CAPITAL CORPORATION

Allegations: COMPLAINT LETTER SENT TO FIRM VIA THE STATE OF WISCONSIN FROM THE CLIENT ALLEGING THEY WERE NOT PROPERLY ADVISED OF ALL RELEVANT FACTS REGARDING THE REPLACEMENT OF TWO PRUDENTIAL ANNUITIES WITH TWO ALLIANZ VARIABLE ANNUITIES. TRANSACTIONS TOOK PLACE IN JULY 2012. CLIENT WANTS REPLACEMENTS CANCELLED AND PRUDENTIAL ANNUITIES RESTORED.

Product Type: Annuity-Variable

Alleged Damages: $0.00

Alleged Damages Amount UNABLE TO CURRENTLY DETERMINE THE ABILITY OR COST ASSOCIATED

Explanation (if amount not exact): WITH RESTORING THE PREVIOUS PRUDENTIAL ANNUITIES.

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: 08/31/2012

Complaint Pending? No

Status: Settled

Status Date: 11/06/2012

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Broker Statement CLIENT WAS ABLE TO CANCEL THE NEW ANNUITY PURCHASE AND REINSTATE THE NEW ANNUITY THAT WAS SURRENDERED.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES, LLC.

Allegations: REGARDING THE 1993 PURCHASE OF A PRUVIDER INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING FUNDING VIA CASH SURRENDER.

Product Type: Insurance

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 08/11/2008

Complaint Pending? No

Status: Denied

Status Date: 08/11/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH PRUDENTIAL, ITS INSURANCE AFFILIATES AND PERSONNEL WERE RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE CLASS ACTION SETTLEMENT REMEDIATION PROCESSES FOR ADDRESSING CLAIMS FOR POLICIES INCLUDED IN THE CLASS HAVE CONCLUDED. BECAUSE THE COMPANY AND THE REPRESENTATIVE(S) WERE RELEASED FROM ANY FURTHER LIABILITY OR OBLIGATION WITH

RESPECT TO CLAIMS LIKE THOSE MADE BY THE POLICYHOLDER, THE COMPANY IS NOT REVIEWING THIS INQUIRY AND IS MAKING NO FINDING OR FURTHER FILING REGARDING THIS INQUIRY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES, LLC
Allegations:	REGARDING THE 1993 PURCHASE OF A PRUVIDER INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING FUNDING VIA CASH SURRENDER
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	08/21/2008
Complaint Pending?	No
Status:	Denied
Status Date:	08/21/2008
Settlement Amount:	
Individual Contribution Amount:	

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	PRUCO SECURITIES, LLC
Termination Type:	Discharged
Termination Date:	02/29/2008
Allegations:	REGISTERED REPRESENTATIVE ENGAGED IN SALES OF NON-PRUDENTIAL EQUITY INDEXED ANNUITIES WITHOUT FOLLOWING THE FIRM'S PRESCRIBED REVIEW PROCESS FOR SALES OF EQUITY INDEXED ANNUITY PRODUCTS AND FAILED TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES (APPOINTMENTS WITH OTHER CARRIERS) ON HIS FORM U4. ALLEGATIONS CONFIRMED.
Product Type:	Other
Other Product Types:	ANNUITIES

Reporting Source:	Individual
Firm Name:	PRUCO SECURITIES, LLC
Termination Type:	Discharged
Termination Date:	02/29/2008
Allegations:	SOLD FIXED ANNUITY (EIA) DIRECT TO CARRIER VS THROUGH COMPANY SPONSORED AGREEMENTS
Product Type:	Annuity(ies) - Fixed
Other Product Types:	
Broker Statement	IN TWENTY YEARS I NEVER HAD A DISCIPLINE CASE, MY 5 YEAR TRACKED CUSTOMER COMPLAINT LOG WAS ZERO. I ALWAYS LOOK OUT FOR MY CLIENTS BEST INTEREST AND THE ALLEGATION IS FALSE

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	WI
Judgment/Lien Amount:	$15,401.00
Judgment/Lien Type:	Tax
Date Filed with Court:	07/11/2016
Date Individual Learned:	04/02/2019
Type of Court:	State Court
Name of Court:	Waukesha Circuit Court
Location of Court:	Waukesha, WI
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$10,741.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/20/2014
Date Individual Learned:	07/23/2014
Type of Court:	Federal Court
Name of Court:	WAUKESHA COUNTY COURT - WAUKESHA
Location of Court:	WAUKESHA, WI
Docket/Case #:	4067014
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$284,826.00
Judgment/Lien Type:	Tax
Date Filed with Court:	01/14/2014
Date Individual Learned:	07/23/2014
Type of Court:	Federal Court
Name of Court:	WAUKESHA COUNTY COURT - WAUKESHA
Location of Court:	WAUKESHA, WI

Docket/Case #:	4061768
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF WISCONSIN
Judgment/Lien Amount:	$13,309.00
Judgment/Lien Type:	Tax
Date Filed with Court:	07/29/2013
Date Individual Learned:	07/23/2014
Type of Court:	State Court
Name of Court:	WAUKESHA CIRCUIT COURT - WAUKESHA
Location of Court:	WAUKESHA, WI
Docket/Case #:	13TW000693
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF WISCONSIN INTERNAL REVENUE
Judgment/Lien Amount:	$89,185.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/04/2012
Type of Court:	State Court
Name of Court:	RECORDER OF DEEDS
Location of Court:	WAUKESHA, WI
Docket/Case #:	12TW000570
Judgment/Lien Outstanding?	Yes
Broker Statement	PAYMENT PLAN IN PLACE EFFECTIVE 05/25/2012. LIEN FIRST DISCOVERED 11/08/2012.

End of Report

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