



IAPD Report

CHARLES RAYMOND MAYS

CRD# 2257416

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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

CHARLES RAYMOND MAYS (CRD# 2257416)

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 **04/04/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MARINER INDEPENDENT	CRD# 305418	07/07/2020

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	SLOAN INVESTMENT MANAGEMENT, L.L.C.	142276	DALLAS, TX	10/04/2019 - 07/13/2020
IA	SMITH ANGLIN FINANCIAL, LLC	144386	DALLAS, TX	02/10/2014 - 06/20/2019
B	SCORE SECURITIES, INC.	41370	FORT WORTH, TX	06/15/2006 - 10/19/2006

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

Employment 1 of 1

Firm Name: **MARINER INDEPENDENT**
Main Address: 5700 WEST 112TH STREET
SUITE 500
OVERLAND PARK, KS 66211
Firm ID#: 305418

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	07/07/2020

Branch Office Locations

MARINER INDEPENDENT
5465 LEGACY DR.
#650
PLANO, TX 75024




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/27/2000

General Industry/Product Exams

Exam	Category	Date
 National Commodity Futures Examination (S3)	Series 3	02/12/2009
 Limited Representative-Equity Trader Exam (S55)	Series 55	01/20/2000
 General Securities Representative Examination (S7)	Series 7	11/12/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/26/2013
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/30/1992

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	10/04/2019 - 07/13/2020	SLOAN INVESTMENT MANAGEMENT, L.L.C.	CRD# 142276	DALLAS, TX
IA	02/10/2014 - 06/20/2019	SMITH ANGLIN FINANCIAL, LLC	CRD# 144386	DALLAS, TX
B	06/15/2006 - 10/19/2006	SCORE SECURITIES, INC.	CRD# 41370	FORT WORTH, TX
B	01/28/2004 - 05/31/2006	ASSENT LLC	CRD# 104162	BOLINGBROOK, IL
B	10/10/2002 - 11/12/2002	MAY FINANCIAL CORPORATION	CRD# 3927	DALLAS, TX
B	10/08/2001 - 07/23/2002	SWS SECURITIES INC.	CRD# 6220	DALLAS, TX
B	09/15/2000 - 08/29/2001	ACCESS SECURITIES, INC.	CRD# 22455	NEW CANAAN, CT
B	01/29/1999 - 09/15/2000	HUBERMAN FINANCIAL INC.	CRD# 28760	DALLAS, TX
B	06/17/1998 - 01/21/1999	SOUTHWEST SECURITIES, INC.	CRD# 6220	DALLAS, TX
B	03/02/1998 - 04/28/1998	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	11/16/1992 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX

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
07/2020 - Present	MARINER PLATFORM SOLUTIONS	INVESTMENT ADVISOR REPRESENTATIVE	Y	PLANO, TX, United States
07/2020 - Present	MAYS WEALTH MANAGEMENT GROUP LLC	MANAGING PARTNER	Y	PLANO, TX, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2019 - 06/2020	Sloan Investment Management	Investment Adviser	Y	Dallas, TX, United States
09/2013 - 06/2019	SMITH ANGLIN FINANCIAL, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	DALLAS, TX, 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.

MAYS WEALTH MANAGEMENT GROUP, LLC; PLANO, TX; MANAGING PARTNER OFFERING INVESTMENT ADVISORY SERVICES THROUGH MARINER PLATFORM SOLUTIONS; START DATE 07/2020; 160 HRS/MONTH AND DURING SECURITIES TRADING HOURS.



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
Judgment/Lien	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: 01/08/1998

Docket/Case Number: CMS970064 AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/08/1998

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement LETTER OF ACCEPTANCE, WAIVER & CONSENT NO. CMS970064 AWC.



ON JANUARY 8, 1998, CHARLES MAYS ("MAYS) WAS NOTIFIED THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT (AWC) HE SUBMITTED WAS ACCEPTED BY THE NASD REGULATION, INC.'S DEPARTMENT OF ENFORCEMENT AND THE NATIONAL BUSINESS CONDUCT COMMITTEE. THE AWC ALLEGES THAT MAYS VIOLATED NASD CONDUCT RULE 2110 FOR THE FOLLOWING ACTIVITY:

ON DECEMBER 14, 1994, MAYS SENT ONE SELECTNET ORDER TO PURCHASE 1,000 SHARES OF CSCO AND TWO SELECTNET ORDERS TO BUY ORCL AT 1,000 SHARES EACH. INCLUDED IN THE SELECTNET MESSAGE FIELD WERE THE WORDS "NICE DATK" FOR THE PURCHASE AND "GO DATK" AND "GETM DATK," RESPECTIVELY, FOR THE BUY ORDERS. THE INCLUSION OF EACH OF THESE MESSAGES IN THE SELECTNET MESSAGE FIELD WAS AN INAPPROPRIATE USE OF A NASDAQ SYSTEM, SERVED NO LEGITIMATE BUSINESS PURPOSE AND VIOLATED NASD CONDUCT RULE 2110.

MAYS WAS FINED \$1,000.

***** \$1,000 PAID ON 2/19/98, INVOICE NO. 98-MS-180 *****

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD REGULATION, INC.
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	SIGNED AN AWC, FINED \$1,000.00
Date Initiated:	11/17/1997
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	DAIN RAUSCHER
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	THE NASD REGULATION, INC. ALLEGED THAT ON DECEMBER 14, 1994, MR. MAYS ENTERED MESSAGES RELATED TO A CERTAIN STOCK IN THE MESSAGE FIELD ON SELECTNET WHICH WAS AN INAPPROPRIATE USE OF A NASDAQ SYSTEM, SERVED NO LEGITIMATE BUSINESS PURPOSE, AND VIOLATED CONDUCT RULE 2110
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/08/1998
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	ON NOVEMBER 17, 1997, MR. MAYS SIGNED AN AWC IN



WHICH WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, HE
CONSENTED TO A \$1000 FINE. THE AWC WAS ACCEPTED BY NASD
REGULATION, INC. ON JANUARY 8, 1998

Broker Statement

ON DECEMBER 14, 1994 I ENTERED MESSAGES RELATING
TO CERTAIN STOCKS THAT READ "GETM DATK". THESE MESSAGES WERE
MONITORED BY NASD ON DEC. 14, 1994. THE 4 DID NOT BRING ANY
SORT OF COMPLAINT AGAINST ME ON THIS DATE NOR WAS A PHONE CALL
MADE TO ME. NOT UNTIL THREE YEARS LATER DID THE NASD FEEL THAT
THESE MESSAGES WERE A VIOLATION OF RULE 2110. I FEEL THE
REASON FOR THE LACK OF TIMELY ACTION ON THE NASD'S PART WAS
DUE
TO THE FACT THERE WAS NOT A VIOLATION AT THE TIME. THE NASD
HAS TAKEN ON A NEW REGULATORY ENVIRONMENT AND IS MAKING IT
RETROACTIVE.



Judgment/Lien

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

Disclosure 1 of 1

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$80,000.00
Judgment/Lien Type: Tax
Date Filed with Court: 10/01/2019
Date Individual Learned: 11/04/2019
Type of Court: County Court
Name of Court: Collin County
Location of Court: McKinney, Texas
Judgment/Lien Outstanding? Yes

Broker Statement

In my opinion and my attorneys opinion, this lien was filed in error. The belief that it was filed in error is due to the fact there was an installment agreement in place at the time of the Lien therefore the account was in good standing. We have dealt with Five different IRS offices and eight IRS employees to get this rectified. In November of 2019 I filed an appeal with the IRS over this matter and despite many hours and calls to the IRS I have yet to receive any type of ruling. I am confident however that the lien will be removed when I receive the ruling.



End of Report

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