IAPD Report

JON GREGORY SANCHEZ

CRD# 2418439

Section Title | **Page(s)**

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

JON GREGORY SANCHEZ (CRD# 2418439)

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 **02/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SANCHEZ GAUNT CAPITAL MANAGEMENT, LLC	CRD# 336187	08/04/2025

QUALIFICATIONS

This representative is currently registered in **0** 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
IA	INDEPENDENT FINANCIAL GROUP, LLC	7717	RENO, NV	06/11/2013 - 08/06/2025
B	INDEPENDENT FINANCIAL GROUP, LLC	7717	RENO, NV	06/04/2013 - 08/06/2025
IA	MORGAN STANLEY	149777	RENO, NV	09/18/2012 - 06/28/2013

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	2

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

Employment 1 of 1

Firm Name: **SANCHEZ GAUNT CAPITAL MANAGEMENT, LLC**

Main Address: 9160 DOUBLE DIAMOND PARKWAY
SUITE 100
RENO, NV 89521

Firm ID#: 336187

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	10/01/2025
IA	Nevada	Investment Adviser Representative	Approved	08/08/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	08/04/2025

Branch Office Locations

SANCHEZ GAUNT CAPITAL MANAGEMENT, LLC
9160 DOUBLE DIAMOND PARKWAY
SUITE 100
RENO, NV 89521

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/27/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/06/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/1993
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/13/1993

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	06/11/2013 - 08/06/2025	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	RENO, NV
B	06/04/2013 - 08/06/2025	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	RENO, NV
IA	09/18/2012 - 06/28/2013	MORGAN STANLEY	CRD# 149777	RENO, NV
B	08/30/2012 - 06/28/2013	MORGAN STANLEY	CRD# 149777	RENO, NV
IA	07/22/2010 - 09/28/2012	SANCHEZ WEALTH MANAGEMENT, LLC	CRD# 153010	RENO, NV
B	01/12/2006 - 08/30/2010	QA3 FINANCIAL CORP.	CRD# 14754	RENO, NV
IA	01/12/2006 - 08/30/2010	QA3 FINANCIAL LLC	CRD# 104957	RENO, NV
IA	06/26/2006 - 10/17/2006	SANCHEZ RETIREMENT PLANNING GROUP, INC.	CRD# 140865	MINDEN, NV
IA	07/12/2002 - 01/10/2006	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	MINDEN, NV
B	07/12/2002 - 01/10/2006	SECURITIES AMERICA, INC.	CRD# 10205	STATELINE, NV
IA	02/06/2000 - 08/09/2002	BROOKSTREET CAPITAL MANAGEMENT	CRD# 14667	BAKERSFIELD, CA
B	02/22/1999 - 08/09/2002	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRAN(
B	12/07/1993 - 02/24/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY

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
06/2025 - Present	Sanchez Gaunt Capital Management	Investment Advisor Representative	Y	Reno, NV, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2000 - Present	THE JON SANCHEZ SHOW	RADIO HOST	Y	BAKERSFIELD, CA, United States
05/2013 - 08/2025	INDEPENDENT FINANCIAL GROUP LLC	FINANCIAL ADVISOR	Y	RENO, NV, 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 JON SANCHEZ SHOW
POSITION: Independent Contractor NATURE: Public Speaking INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 40 START DATE: 02/14/1999
ADDRESS: 142 LOWER COLONY ROAD, WELLINGTON NV 89444, United States
DESCRIPTION: HOST OF THE JON SANCHEZ SHOW, A RADIO SHOW

(2) SANCHO RANCHO, LLC.
POSITION: Officer/Director NATURE: Business Entity for Tax/Investment Purposes INVESTMENT RELATED: No NUMBER OF HOURS: 70 SECURITIES TRADING HOURS: 5 START DATE: 02/19/2010
ADDRESS: 142 LOWER COLONY ROAD, WELLINGTON NV 89444, United States
DESCRIPTION: 100% OWNER OF SANCHO RANCHO, LLC. CATTLE, CUSTOM FARMING AND HAY RANCH

(3) INSURANCE
POSITION: Officer/Director NATURE: Insurance outside of IFG INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 15 START DATE: 02/14/1999
ADDRESS: 1645 Highway 395, Minden NV 89423, United States
DESCRIPTION: NV INSURANCE AGENT OFFERING VARIOUS TYPES OF INSURANCE PRODUCTS

(4) SANCHEZ RANCH,LLC
POSITION: Officer/Director NATURE: Other: INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2015
ADDRESS: 1645 Highway 395, Minden NV 89423, United States
DESCRIPTION: 100% OWNER OF SANCHEZ RANCH, LLC PROVIDING WHOLESALE AND RETAIL SALES OF BEEF, PORK, AND POULTRY.

(5) SANCHEZ WEALTH MANAGEMENT LLC
POSITION: Officer/Director NATURE: DBA Name for Marketing Purposes Only INVESTMENT RELATED: Yes NUMBER OF HOURS: 280 SECURITIES TRADING HOURS: 130 START DATE: 02/01/2010
ADDRESS: 1645 Highway 395, Minden NV 89423, United States
DESCRIPTION: 50% OWNER OF DBA SANCHEZ WEALTH MANAGEMENT LLC USED FOR MARKETING PURPOSES

(6) SANCHEZ WEALTH MANAGEMENT, LLC
POSITION: Officer/Director NATURE: Public Speaking INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2014
ADDRESS: 1645 Highway 395, Minden NV 89423, United States
DESCRIPTION: GUEST SPEAKER FOR SANCHEZ WEALTH MANAGEMENT, LLC DISCUSSING GENERAL EDUCATIONAL TOPICS INCLUDING ECONOMIC OUTLOOK, DIVERSIFICATION, FINANCIAL PLANNING

Registration & Employment History

OTHER BUSINESS ACTIVITIES

(7) CHANNEL ISLANDS EXECUTIVE CHARTERS, LLC
POSITION: Officer/Director NATURE: Other: INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 12/05/2023
ADDRESS: 142 Lower Colony Rd, Wellington NV 89444, United States
DESCRIPTION: I will act as the yacht captain, overseeing the yacht charters and crew.

(8) CHANNEL ISLANDS YACHT MANAGEMENT, LLC
POSITION: Officer/Director NATURE: Other: INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 11/11/2024
ADDRESS: 142 LOWER COLONY ROAD, WELLINGTON NV 89444, United States
DESCRIPTION: 50% owner of yacht management company. My duties are to handle marketing. 40% owner is a 30+ year yacht management expert.

(9) SANCHEZ GAUNT CAPITAL MANAGEMENT, LLC
POSITION: Officer/Director NATURE: Business Entity for Tax/Investment Purposes INVESTMENT RELATED: Yes NUMBER OF HOURS: 240 SECURITIES TRADING HOURS: 160 START DATE: 01/07/2025
ADDRESS: 9160 Double Diamond Parkway, Suite 100, Reno NV 89521, United States
DESCRIPTION: CEO of Sanchez Gaunt Capital Management, LLC. Duties to include CEO responsibilities, HR, portfolio management, client management/acquisition, marketing, financial management, etc.

(10) CHASING THE TAIL, LLC
POSITION: Officer/Director NATURE: Other: INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 11/05/2024
ADDRESS: 142 LOWER COLONY ROAD, WELLINGTON NV 89444, United States
DESCRIPTION: USCG licensed captain of OUPV/Six Pak fishing charter

(11) Specialized Trusts & Estate Plans, LLC
POSITION: CEO/Estate Planning Adv. NATURE: Other: INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 Hours per month SECURITIES TRADING HOURS: 2 START DATE: 02/21/26
ADDRESS: 142 Lower Colony Road, WELLINGTON, NV, 89444; United States
DESCRIPTION: Provides non-legal estate planning education, client facilitation, and administrative coordination services.

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	2

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:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/25/2020
Docket/Case Number:	19-03631
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Sanchez failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/25/2020
Sanctions Ordered:	Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? **(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?** **(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or** **(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**	No

Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	n/a
Start Date:	09/25/2020
End Date:	10/08/2020
Regulator Statement	Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Sanchez is suspended on September 25, 2020 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension lifted on October 8, 2020.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/25/2020
Docket/Case Number:	19-03631
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Sanchez failed to comply with an arbitration award or settlement agreement.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/25/2020
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	n/a
Start Date:	09/25/2020
End Date:	10/08/2020

Broker Statement	Suspension is the result of a failure to pay an award to another broker dealer (Morgan Stanley (MS)) and stems from a forgivable loan given to Mr. Sanchez in 2013. Since an arrangement was not able to be worked out within thirty (30) days, FINRA's rules require suspension of the representative's registration. Mr. Sanchez has fully paid the funds back to MS as of 10/15/2021.

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 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Independent Financial Group, LLC
Allegations:	fraud; negligent misrepresentation; breach of fiduciary duty and breach of the covenant of good faith and fair dealing; breach of conduct and Section 20 violations.
Product Type:	Other: exchange-traded funds
Alleged Damages:	$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #14-01436
Date Notice/Process Served:	05/05/2014
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/05/2015
Disposition Detail:	Respondent is liable for and shall pay to Claimants compensatory damages in the amount of $40,000.00, plus interest.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	QA3 FINANCIAL
Allegations:	UNSUITABILITY, NEGLIGENT MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY IN CONNECTION WITH LEVERAGED ETFS PURCHASED IN 2009-2010.
Product Type:	Other: LEVERAGED ETFS
Alleged Damages:	$80,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION
Docket/Case #:	14-01436
Date Notice/Process Served:	05/29/2014

Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/05/2015
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$40,000.00
Broker Statement	REPRESENTATIVE DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM. CLAIMANTS HAVE NOT BEEN DAMAGED, WHETHER IN THE AMOUNT ALLEGED IN THE CLAIM OR OTHERWISE AND MAINTAINS THE CLAIMS AND ALLEGATIONS ARE FALSE AND ARE TIME BARRED RESULTING IN THE APPEALS BEING FILED.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY INC.
Allegations:	
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	08/28/1998
Complaint Pending?	No
Status:	Denied
Status Date:	09/24/1998
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY INC.
Allegations:	CLIENT ALLEGED THAT PURCHASES OF ANNUITIES WERE MISREPRESENTED ALLEGED DAMAGES UNSPECIFIED SMITH BARNEY INC
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	08/28/1998
Complaint Pending?	No

Status:	Denied
Status Date:	09/24/1998
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENTS CLAIM WAS DENIED. THERE WERE NO OPTIONS OR COMMODITIES INVOLVED. NOT PROVIDED

End of Report

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