IAPD Report

ANTHONY CHARLES SMITH

CRD# 2471757

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

ANTHONY CHARLES SMITH (CRD# 2471757)

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 **12/10/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CALTON & ASSOCIATES, INC.	CRD# 20999	02/17/2015
IA	CALTON & ASSOCIATES, INC.	CRD# 20999	02/20/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	NEWPORT COAST ASSET MANAGEMENT	16944	OCALA, FL	10/13/2010 - 02/17/2015
B	NEWPORT COAST SECURITIES, INC.	16944	OCALA, FL	07/08/2008 - 02/17/2015
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	OCALA, FL	03/31/2003 - 07/03/2008

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	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 **12** 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	General Securities Principal	Approved	02/17/2015
B	FINRA	General Securities Representative	Approved	02/17/2015
B	California	Agent	Approved	04/06/2018
B	Connecticut	Agent	Approved	04/11/2016
B	Florida	Agent	Approved	02/20/2015
IA	Florida	Investment Adviser Representative	Approved	02/20/2015
B	Georgia	Agent	Approved	02/17/2015
B	Hawaii	Agent	Approved	05/28/2015
B	Indiana	Agent	Approved	01/31/2018
B	Montana	Agent	Approved	02/17/2015
B	New York	Agent	Approved	02/17/2015
B	North Carolina	Agent	Approved	12/01/2017
B	Oklahoma	Agent	Approved	02/17/2015

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	02/17/2015
B	Washington	Agent	Approved	02/17/2015

Branch Office Locations

CALTON & ASSOCIATES, INC.
6116 SW HWY 200
Ocala, FL 34476

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	05/14/1998

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	05/09/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/11/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/06/1994

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	10/13/2010 - 02/17/2015	NEWPORT COAST ASSET MANAGEMENT	CRD# 16944	OCALA, FL
B	07/08/2008 - 02/17/2015	NEWPORT COAST SECURITIES, INC.	CRD# 16944	OCALA, FL
B	03/31/2003 - 07/03/2008	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	OCALA, FL
B	04/18/2000 - 03/31/2003	CONTINENTAL CAPITAL INVESTMENT SERVICES, INC.	CRD# 2864	BRYAN, OH
B	08/31/1999 - 04/18/2000	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY
B	02/27/1998 - 09/01/1999	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRAN
B	01/07/1998 - 03/09/1998	MFI INVESTMENTS CORP.	CRD# 2864	BRYAN, OH
B	07/09/1997 - 02/09/1998	CRISPIN KOEHLER SECURITIES	CRD# 10596	TAMPA, FL
B	01/14/1997 - 07/15/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	01/14/1997 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	07/11/1995 - 12/04/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	07/05/1994 - 07/03/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
02/2015 - Present	CALTON & ASSOCIATES, INC.	REGISTERED ADVISOR	Y	OCALA, FL, United States
11/2002 - Present	INDEPENDENT INSURANCE AGENT	INSURANCE AGENT	Y	OCALA, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2000 - Present	WINDWARD WEALTH MANAGEMENT	OWNER BROKER	Y	OCALA, 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.

No. 1) Name of Business: Windward Wealth Management, LLC. Investment related. Address: 6116 SW Highway 200, Ocala, FL 34476. Nature of Business: DBA for financial services. Position/Title/Relationship: Owner. Start Date: 06/2010. Hours per month: 165. Hours per month during Securities trading hours: 140. Duties/Responsibilities: Investment advice. Supervision and maintenance of client accounts.
No. 2) Name of Business: Windward Insurance & Tax Services, LLC. Non-Investment related. Address: 6114 SW Highway 200, Ocala, FL 34476. Nature of Business: DBA for accident life, health, annuities, home & auto insurance, tax preparation. Position/Title/Relationship: Partner. Start Date: 05/02/2011. Hours per month: 8.6. Hours per month during Securities trading hours: 0. Duties/Responsibilities: Accident, life, health, fixed rate annuities, home & auto insurance, and tax preparation are offered. Property and casualty insurance is most of the business.

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	2

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:	Individual
Employing firm when activities occurred which led to the complaint:	NEWPORT COAST SECURITIES, INC. & CALTON & ASSOCIATES, INC.
Allegations:	Client alleged recommendations & strategy were unsuitable . Date of activity leading to the allegations was 2010
Product Type:	Real Estate Security
Alleged Damages:	$85,339.41
Alleged Damages Amount Explanation (if amount not exact):	They are also asking for interest & attorney fees.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-00582
Date Notice/Process Served:	04/15/2021
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/25/2021
Monetary Compensation Amount:	$79,000.00

Individual Contribution Amount:	$39,500.00
Broker Statement	My broker dealer chose to settle this claim rather than spend the time and money that would have been required for extended litigation. While I maintain that my actions were appropriate based on the investment objectives and sophistication of the client, I understand the rational for this decision.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Newport Coast Securities & Calton & Associates, Inc.
Allegations:	Suitability, Misrepresentation, Breach of Fiduciary Duty. Date range is 2012 - 2015
Product Type:	Real Estate Security
Alleged Damages:	$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03208
Filing date of arbitration/CFTC reparation or civil litigation:	09/11/2020

Customer Complaint Information

Date Complaint Received:	10/20/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/25/2021
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$20,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-03208
Date Notice/Process Served:	10/20/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/25/2021

Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$20,000.00
Broker Statement	My broker dealer chose to settle this claim rather than spend the time and money that would have been required for extended litigation. While I maintain that my actions were appropriate based on the investment objectives and sophistication of the client, I understand the rational for this decision.

End of Report

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