



IAPD Report

WAYNE THOMAS HUMPHRIES

CRD# 253139

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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

WAYNE THOMAS HUMPHRIES (CRD# 253139)

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 **03/19/2015**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL MONEY MANAGEMENT GROUP, INC.	CRD# 14367	01/16/1984
IA	BAYVIEW INVESTMENT COUNSEL, INC	CRD# 116015	07/01/1991

QUALIFICATIONS

This representative is currently registered in **1** 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
B	BNL SECURITIES INC.	10641	LOCATION	09/03/1982 - 02/27/1984
B	INDEPENDENT FINANCIAL PLANNERS CORPORATION	653	LOCATION	01/16/1978 - 12/08/1982
B	VOSS & CO., INC.	6405	LOCATION	02/28/1977 - 02/04/1978

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



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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **INTERNATIONAL MONEY MANAGEMENT GROUP, INC.**

Main Address: 120 SALLITT DR SUITE F
STEVENSVILLE, MD 21666

Firm ID#: 14367

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/16/1984
B FINRA	General Securities Representative	Approved	01/16/1984
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/29/1991
B FINRA	Municipal Securities Principal	Approved	10/20/1997
B FINRA	Municipal Securities Representative	Approved	10/20/1997
B FINRA	Operations Professional	Approved	12/12/2011
B Maryland	Agent	Approved	02/15/1984
B Virginia	Agent	Approved	05/07/1984

Branch Office Locations

120 SALLITT DR SUITE F
STEVENSVILLE, MD 21666

110 CHANNEL MARKER WAY
SUITE 101
GRASONVILLE, MD 21638

Employment 2 of 2

Firm Name: **BAYVIEW INVESTMENT COUNSEL, INC**

Main Address: 120 SALLITT DR SUITE F
STEVENSVILLE, MD 21666

Firm ID#: 116015



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/05/2007
IA Maryland	Investment Adviser Representative	Approved	07/01/1991
IA Virginia	Investment Adviser Representative	Approved	04/16/1998

Branch Office Locations

BAYVIEW INVESTMENT COUNSEL, INC
301 PIER ONE ROAD #201
STEVENSVILLE, MD 21666






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 3 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	04/24/1991
	General Securities Principal Examination (S00)	Series 00	08/26/1970

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Registered Representative Examination (S1)	Series 1	08/24/1966

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1998



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
B	09/03/1982 - 02/27/1984	BNL SECURITIES INC.	CRD# 10641	
B	01/16/1978 - 12/08/1982	INDEPENDENT FINANCIAL PLANNERS CORPORATION	CRD# 653	
B	02/28/1977 - 02/04/1978	VOSS & CO., INC.	CRD# 6405	
B	09/01/1970 - 03/01/1975	I.F.S. INVESTORS SERVICES, INC.	CRD# 3893	

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
01/2001 - Present	BAYVIEW FINANCIAL GROUP, INC.	OTHER VICE PRESIDENT-DIRECTOR	N	GARSONVILLE, MD, United States
04/1999 - Present	#IA BAYVIEW INVESTMENT COUNSEL, INC.	OTHER VICE PRESIDENT - DIRECTOR	N	STEVENSVILLE, MD, United States
09/1983 - Present	INTERNATIONAL MONEY MANAGEMENT GROUP, INC.	VICE_PRESIDENT - VICE PRESIDENT	Y	STEVENSVILLE, MD, 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 information reported.



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

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: VIRGINIA - STATE CORPORATION COMMISSION
 DIVISION OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/04/1997

Docket/Case Number: SEC970084

Employing firm when activity occurred which led to the regulatory action: ASSET MANAGEMENT ADVISORS, INC.

Product Type:

Other Product Type(s):

Allegations: ASSET MANAGEMENT ADVISORS, INC., AN INVESTMENT ADVISOR REGISTERED IN VIRGINIA UNDER THE VIRGINIA SECURITIES ACT, CONDUCTED BUSINESS AS AN UNREGISTERED INVESTMENT ADVISOR IN VIOLATION OF SECTION 13.1-504 A (ii) OF THE CODE OF VIRGINIA. ASSET MANAGEMENT ADVISORS, INC. ALSO EMPLOYED ERNEST ORLANDO BRITTINGHAM, JR. AND WAYNE THOMAS HUMPHRIES AS UNREGISTERED INVESTMENT ADVISOR REPRESENTATIVES IN VIOLATION OF SECTION 13.1-504 C OF THE CODE OF VIRGINIA. ERNEST ORLANDO BRITTINGHAM, JR. AND WAYNE THOMAS HUMPHRIES, IN VIOLATION OF SECTION 13.1-504 A (ii) OF THE CODE OF VIRGINIA, UNLAWFULLY TRANSACTED BUSINESS IN THE COMMONWEALTH AS UNREGISTERED INVESTMENT ADVISOR REPRESENTATIVES.



Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 11/04/1997

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ASSET MANAGEMENT ADVISORS, INC. OFFERED AND AGREED TO REFRAIN FROM TRANSACTING BUSINESS IN THE COMMONWEALTH AS AN UNREGISTERED INVESTMENT ADVISOR AND IT WILL NOT EMPLOY ANY UNREGISTERED INVESTMENT ADVISOR REPRESENTATIVES. ERNEST ORLANDO BRITTINGHAM, JR. AND WAYNE THOMAS HUMPHRIES OFFERED AND AGREED TO NOT TRANSACT BUSINESS IN THE COMMONWEALTH AS UNREGISTERED INVESTMENT ADVISOR REPRESENTATIVES. THEY ALSO AGREED TO PAY A PENALTY IN THE AMOUNT OF \$2,500 AND THE SUM OF \$604 AS REIMBURSEMENT FOR THE COSTS OF THE DIVISION'S INVESTIGATION.

Regulator Statement IT IS ORDERED THAT THE OFFER OF SETTLEMENT IS ACCEPTED AND THE SUM OF \$3,104.00 TENDERED WITH THE ENTRY OF THIS ORDER IS ACCEPTED. CONTACT: CRISTA C. COLE, INVESTMENT ADVISOR EXAMINER, 804-371-9067.

Reporting Source: Individual

Regulatory Action Initiated By: COMMONWEALTH OF VIRGINIA-STATE CORPORATION COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/04/1997

Docket/Case Number: SEC970084

Employing firm when activity occurred which led to the regulatory action: ASSET MANAGEMENT ADVISORS, INC.

Product Type:

Other Product Type(s):

Allegations: VIOLATION OF SEC 13.1-504 A(II) OF THE CODE OF VIRGINIA, UNLAWFULLY TRANSACTED BUSINESS AS UNREGISTERED INVESTMENT ADVISOR REPRESENTATIVE.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 11/04/1997

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:



Sanction Details:

FIRM AND INDIVIDUALS PAID TOTAL FINE OF \$2,500.

Broker Statement

Not Provided



End of Report

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