



IAPD Report

CHARLES HENRY TUNE

CRD# 3121530

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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 HENRY TUNE (CRD# 3121530)

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 **07/11/2017**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CHT GROUP, INC.	CRD# 161842	01/23/2026

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	CHT GROUP, INC.	161842	EL PASO, TX	01/14/2019 - 12/31/2025
IA	CHT GROUP, INC.	161842	EL PASO, TX	03/20/2013 - 12/31/2018
IA	CFO SOLUTIONS LLC	115898	EL PASO, TX	02/13/2009 - 07/11/2017

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: **CHT GROUP, INC.**
Main Address: EL PASO, TX
Firm ID#: 161842

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/23/2026

Branch Office Locations

CHT GROUP, INC.
EL PASO, TX



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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 IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/2001
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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	01/14/2019 - 12/31/2025	CHT GROUP, INC.	CRD# 161842	EL PASO, TX
IA	03/20/2013 - 12/31/2018	CHT GROUP, INC.	CRD# 161842	EL PASO, TX
IA	02/13/2009 - 07/11/2017	CFO SOLUTIONS LLC	CRD# 115898	EL PASO, TX
IA	10/06/2004 - 10/29/2009	GREENBOOK INVESTMENT MANAGEMENT, INC.	CRD# 131563	EL PASO, TX
IA	10/08/2004 - 12/31/2004	XELAN FINANCIAL PLANNING, INC.	CRD# 123794	EL PASO, TX
IA	01/07/2004 - 07/26/2004	XELAN FINANCIAL PLANNING, INC.	CRD# 123794	EL PASO, TX
IA	02/12/2002 - 01/30/2003	XELAN INVESTMENT SERVICES, INC.	CRD# 111870	EL PASO, 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
10/2012 - Present	CHT GROUP, INC.	PRESIDENT	Y	EL PASO, TX, United States
02/2009 - Present	CFO SOLUTIONS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
10/1997 - Present	CHARLES TUNE CPA	OWNER	N	EL PASO, 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.

(1A)CHARLES TUNE CPA, 11140 LEO COLLINS, EL PASO TX 79936 (B) CERTIFIED PUBLIC ACCOUNTANT (C) SOLE PROPIETOR (D)N/A (E) SOLE PRACTITIONAL, STANDARD CPA ACTIVITIES (F) WILL NOT RAISE CAPITAL FOR THE COMPANY, NO INVESTORS (G) WILL NOT SOLICIT INVENTORY (H) TIME SPLIT 20/80, 20 HOURS WEEKLY AS CPA (I) NO



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CUSTOMERS OF ISI INVOLVED IN THE ACTIVITY WILL NOT SOLICIT CLIENTS OF GREENBOOK FROM CPA ACTIVITIES. IF REQUESTED BY GB CLIENT, WILL PREPARE TAXES.(J) OPENED CPA PRACTICE IN 1997 AFTER CLOSING ANOTHER UNRELATED COMPANY (K) NET INCOME FROM CPA SERVICES, \$25,000/YR EXPECTED (L) YES, I HAVE BEGUN PARTICIPATING IN THIS ACTIVITY.



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:	Individual
Regulatory Action Initiated By:	TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	REVOCAION OF ACCOUNTANT LICENSE
Date Initiated:	03/01/1998
Docket/Case Number:	NO DOCKET OR CASE NUMBER
Employing firm when activity occurred which led to the regulatory action:	NON-PAYMENT WHILE EMPLOYED BY NEW TEX MEDICAL SUPPLY, INC.
Product Type:	Other
Other Product Type(s):	MEDICAL SUPPLIES
Allegations:	FAILURE TO PAY ANNUAL LICENSE (CPA DUES AND REPORT CONTINUING PROFESSIONAL EDUCATION OF 40 HOURS)
Current Status:	Final
Resolution:	Other
Resolution Date:	10/01/1999
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	DURATION WAS UNTIL DUES PAID AND CPE COMPLETED. THIS TOOK 6 MONTHS. CAPACITIES AFFECTED WERE NOT ALLOWED TO PRACTICE AS A



CPA UNTIL LICENSE RE-ISSUED. NO LENGTH OF TIME WAS GIVEN TO RE-QUALIFY. PER ITEM 13 BELOW, ALL WAS SATISFIED AND LICENSE RE-ISSUED.

Broker Statement

WHILE EMPLOYED BY NEW TEX MEDICAL SUPPLY, I DID NOT REPORT OR PAY EDUCATION AND DUES. PER ATTACHED LETTER FROM TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY, ALL OUTSTANDING CRITERIA COMPLETED. LICENSE ISSUED - RE-INSTATED 9/1998



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: C LEASING
Judgment/Lien Amount: \$3,571.00
Judgment/Lien Type: Civil
Date Filed: 05/11/2000

Court Details: EL PASO COUNTY COURT AT LAW NUMBER THREE #2000-442

Judgment/Lien Outstanding? Yes

Broker Statement

PERSONAL GUARANTER OF CORPORATE DEBT. I COULD NOT AFFORD AN ATTORNEY TO REPRESENT ME.GROUNDS WERE 1) C LEASING KNEW I WAS NO LONGER INVOLVED WITH THAT CORPORATION 2) KNOWING THIS, THEY ALLOWED A CORPORATE OFFICER TO SIGN AN AFFIDAVIT STATING I KNEW OF AND CONSENTED TO A TRANSFER OF THE LEASE AGREEMENT TO ANOTHER CORPORATION 3) I PREVIOUSLY TOLD C LEASING THAT IF ANOTHER CORPORATION TOOK OVER THE LEASE IT WAS REQUIRED TO BE PAID OFF 4) C LEASING WAS NEGLIGENT BY NOT OBTAINING SS# OF THE TWO NEW GUARANTORS AND FAILED TO DO A CREDIT CHECK ON THEM.



End of Report

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