IAPD Report

WAYNE CHARLES MAIER

CRD# 317449

Section Title

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 CHARLES MAIER (CRD# 317449)

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 **12/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/17/2024
IA	LPL FINANCIAL LLC	CRD# 6413	01/17/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Bay City, MI	11/05/2018 - 01/19/2024
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	Bay City, MI	11/05/2018 - 01/19/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	BAY CITY, MI	09/23/2013 - 11/06/2018

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	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 **32** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/17/2024
B	Alabama	Agent	Approved	01/22/2024
B	Arizona	Agent	Approved	01/17/2024
B	Arkansas	Agent	Approved	10/10/2024
B	California	Agent	Approved	01/17/2024
B	Colorado	Agent	Approved	01/17/2024
B	Florida	Agent	Approved	01/17/2024
B	Hawaii	Agent	Approved	01/18/2024
B	Idaho	Agent	Approved	01/17/2024
B	Illinois	Agent	Approved	01/17/2024
B	Indiana	Agent	Approved	01/23/2024
B	Kentucky	Agent	Approved	01/17/2024
B	Maryland	Agent	Approved	01/17/2024

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	01/18/2024
B	Michigan	Agent	Approved	01/17/2024
IA	Michigan	Investment Adviser Representative	Approved	01/17/2024
B	Minnesota	Agent	Approved	12/23/2024
B	Mississippi	Agent	Approved	01/17/2024
B	Montana	Agent	Approved	01/17/2024
B	Nevada	Agent	Approved	01/24/2024
B	New Mexico	Agent	Approved	01/17/2024
B	New York	Agent	Approved	01/17/2024
B	North Carolina	Agent	Approved	01/17/2024
B	Ohio	Agent	Approved	01/17/2024
B	Oklahoma	Agent	Approved	01/17/2024
B	Oregon	Agent	Approved	01/17/2024
B	Pennsylvania	Agent	Approved	01/17/2024
B	South Carolina	Agent	Approved	01/18/2024
B	Tennessee	Agent	Approved	01/17/2024
B	Texas	Agent	Approved	01/17/2024
IA	Texas	Investment Adviser Representative	Approved	01/17/2024
B	Virginia	Agent	Approved	01/17/2024

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	01/17/2024
B	West Virginia	Agent	Approved	01/17/2024
B	Wisconsin	Agent	Approved	01/17/2024

Branch Office Locations

LPL FINANCIAL LLC
5982 WESTSIDE SAGINAW RD
BAY CITY, MI 48706

LPL FINANCIAL LLC
213 EAST MAIN ST.
GAYLORD, MI 49735

LPL FINANCIAL LLC
319 LAKE ST.
ROSCOMMON, MI 48653

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	08/15/1974

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/19/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/17/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/05/2018 - 01/19/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Bay City, MI
B	11/05/2018 - 01/19/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	Bay City, MI
IA	09/23/2013 - 11/06/2018	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BAY CITY, MI
B	09/20/2013 - 11/06/2018	SECURITIES AMERICA, INC.	CRD# 10205	BAY CITY, MI
IA	03/25/2008 - 10/03/2013	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	BAY CITY, MI
B	08/15/2007 - 10/03/2013	NATIONAL PLANNING CORPORATION	CRD# 29604	BAY CITY, MI
B	04/29/2002 - 08/16/2007	SECURITIES AMERICA, INC.	CRD# 10205	BAY CITY, MI
B	09/18/2000 - 04/30/2002	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	GREENWOOD VILLAGE
B	06/17/1999 - 09/01/2000	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	GREENWOOD VILLAGE
B	12/18/1996 - 06/01/1999	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	08/23/1995 - 12/05/1996	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	04/26/1994 - 05/17/1995	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN
B	04/26/1994 - 05/17/1995	AUL EQUITY SALES CORP.	CRD# 4173	INDIANAPOLIS, IN
B	08/03/1993 - 04/21/1994	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	08/03/1993 - 04/21/1994	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	02/17/1989 - 07/02/1993	CENTURY INVESTORS OF AMERICA, INC.	CRD# 5322	
B	08/20/1974 - 06/06/1991	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA

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	06/25/1985 - 05/28/1991	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	HARTFORD, CT
B	08/20/1974 - 03/06/1985	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	

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
01/2024 - Present	LPL FINANCIAL LLC	REGESTERED REPRESENTATIVE	Y	BAY CITY, MI, United States
11/2018 - Present	MAIER AND ASSOCIATES	Partner	N	BAY CITY, MI, United States
01/2004 - Present	MAIER & ASSOCIATES CHARITABLE FOUNDATION INC.	FOUNDER	N	BAY CITY, MI, United States
11/2018 - 01/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISOR	Y	BAY CITY, MI, United States
11/2018 - 01/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	BAY CITY, MI, United States
10/2013 - 11/2018	SECURITIES AMERICA, INC.	PRODUCTION SUPERVISOR	Y	LAVISTA, NE, 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) 12/2023 - Wayne Maier Properties LLC / Owner / Real Estate Rental / 48706, MI / Start date 02/01/2009 - 1Hrs per month - 1% Time Spent
2) 12/2023 - Maier & Associates Financial Group. Inc. / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) 25 Hrs per month / 90% Time Spent
3) 12/2023 - Non-Variable Insurance / Inv. Related /   Bay City, MI / Start date 10/01/1984 - 20 Hrs per month - 5 % Time Spent

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	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:	04/27/1999
Docket/Case Number:	C8A990037
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 2110 AND 3040 - RESPONDENT MAIER PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AND FAILED AND NEGLECTED TO PROVIDE WRITTEN NOTICE TO, OR TO RECEIVE WRITTEN AUTHORIZATION FROM, HIS MEMBER FIRM OF SUCH ACTIVITIES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/27/1999
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension

Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT MAIER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED, FINED $5,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE DAYS. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON JUNE 21, 1999, AND CONCLUDE AT THE CLOSE OF BUSINESS ON JUNE 25, 1999.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD BASED ON A COMPLAINT FILED BY [CUSTOMER] AND [CUSTOMER]
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/27/1999
Docket/Case Number:	C8A990037
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THAT I FAILED AND NEGLECTED TO PROVIDE WRITTEN NOTICE TO, OR TO RECEIVE WRITTEN AUTHORIZATION FROM, FORTIS OF MY PARTICIPATION IN A PRIVATE SECURITIES TRANSACTION IN VIOLATION OF CONDUCT RULES 2110 AND 3040.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/27/1999
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	A CENSURE, A 5 DAY SUSPENSION AND A $5000 FINE
Broker Statement	NOT PROVIDED

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SII INVESTMENTS, INC. 1428 MIDWAY ROAD., MENASHA WI 54952
Allegations:	ON OR ABOUT NOVEMBER 7, 1996 I PARTICIPATED IN THE OFFER AND SALE FOR COMPENSATION OF A SECURITY IN THE FORM OF A PROMISSORY NOTE ISSUED BY AN ENTITY KNOWN AS FIRST LENDERS INDEMNITY CORP IN THE AMOUNT OF $50,000. IN CONNECTION THEREWITH, I FAILED AND NEGLECTED TO PROVIDE WRITTEN NOTICE, OR TO RECEIVE AUTHORIZATION FROM MY BROKER DEALER PURSUANT TO CONDUCT RULE 2110 & 3040.
Product Type:	Other
Other Product Type(s):	COMMERCIAL PAPER NAMELY FLIC PROMISSORY NOTE
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	11/07/1996
Complaint Pending?	No
Status:	Settled
Status Date:	01/11/1999
Settlement Amount:	$46,000.00
Individual Contribution Amount:	$5,000.00
Firm Statement	ON JANUARY 11, 1999 THE [CUSTOMER'S] SIGNED A RELEASE OF ALL CLAIMS PRIOR OR FUTURE AGINST WAYNE MAIER AND MAIER & ASSOCIATES BASED ON THE FOLLOWING FINANCIAL RENUMERATION: WAYNE MAIER AND MAIER & ASSOCIATED PAID A TOTAL OF $5,000.00 - FORTIS INVESTORS PAID A TOTAL OF $2,500.00 AND SII INVESTMENTS PAID THE BALANCVE OF 38,500.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SII INVESTMENTS, INC. 1428 MIDWAY ROAD., MENASHA WI 54952
Allegations:	ON OR ABOUT NOVEMBER 7, 1996 I PARTICIPATED IN THE OFFER AND SALE FOR COMPENSATION OF A SECURITY IN THE FORM OF A PROMISSORY NOTE ISSUED BY AN ENTITY KNOWN AS FIRST LENDERS INDEMNITY CORP IN THE AMOUNT OF $50,000. IN CONNECTION THEREWITH, I FAILED AND NEGLECTED TO PROVIDE WRITTEN NOTICE, OR

	TO RECEIVE AUTHORIZATION FROM MY BROKER DEALER PURSUANT TO CONDUCT RULE 2110 & 3040.
Product Type:	Other
Other Product Type(s):	COMMERCIAL PAPER NAMELY FLIC PROMISSORY NOTE
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	11/07/1996
Complaint Pending?	No
Status:	Settled
Status Date:	01/11/1999
Settlement Amount:	$46,000.00
Individual Contribution Amount:	$5,000.00
Broker Statement	ON JANUARY 11, 1999 THE [CUSTOMER'S] SIGNED A RELEASE OF ALL CLAIMS PRIOR OR FUTURE AGINST WAYNE MAIER AND MAIER & ASSOCIATES BASED ON THE FOLLOWING FINANCIAL RENUMERATION: WAYNE MAIER AND MAIER & ASSOCIATED PAID A TOTAL OF $5,000.00 - FORTIS INVESTORS PAID A TOTAL OF $2,500.00 AND SII INVESTMENTS PAID THE BALANCVE OF 38,500.00

End of Report

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