IAPD Report

MATTHEW CHARLES MELINE SR

CRD# 3220612

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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

MATTHEW CHARLES MELINE SR (CRD# 3220612)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SANCTUARY SECURITIES, INC.	CRD# 205	08/23/2019
IA	SANCTUARY ADVISORS, LLC	CRD# 226606	08/23/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	MORGAN STANLEY	149777	DES MOINES, IA	06/01/2009 - 09/04/2019
IA	MORGAN STANLEY	149777	DES MOINES, IA	06/01/2009 - 09/04/2019
IA	CITIGROUP GLOBAL MARKETS INC.	7059	DES MOINES, IA	11/03/2008 - 06/01/2009

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

Employment 1 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**

Main Address: 1450 BRICKELL AVENUE
SUITE 2610
MIAMI, FL 33131

Firm ID#: 205

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/23/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	08/23/2019
B	California	Agent	Approved	01/02/2026
B	Colorado	Agent	Approved	09/13/2019
B	Florida	Agent	Approved	12/17/2024
B	Illinois	Agent	Approved	09/13/2019
B	Indiana	Agent	Approved	08/30/2019
B	Iowa	Agent	Approved	09/10/2019
B	Maine	Agent	Approved	08/06/2021
B	Michigan	Agent	Approved	09/10/2019
B	Minnesota	Agent	Approved	08/17/2023
B	Missouri	Agent	Approved	08/26/2019
B	Nebraska	Agent	Approved	02/16/2023

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	08/09/2024
B	New Mexico	Agent	Approved	09/13/2019
B	Ohio	Agent	Approved	08/24/2019
B	Tennessee	Agent	Approved	04/08/2025
B	Texas	Agent	Approved	09/11/2019

Branch Office Locations

DAVID A. NOYES & COMPANY
2580 FLEUR DR
STE 300
DES MOINES, IA 50321

Employment 2 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**

Main Address: 1450 BRICKELL AVENUE
SUITE 2610
MIAMI, FL 33131

Firm ID#: 226606

	Regulator	Registration	Status	Date
IA	Iowa	Investment Adviser Representative	Approved	08/26/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	08/23/2019

Branch Office Locations

SANCTUARY ADVISORS, LLC
2580 FLEUR DR
STE 300
DES MOINES, IA 50321

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, 4 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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	03/08/2010
B	General Securities Representative Examination (S7)	Series 7	04/24/2001
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/24/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/26/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
B	06/01/2009 - 09/04/2019	MORGAN STANLEY	CRD# 149777	DES MOINES, IA
IA	06/01/2009 - 09/04/2019	MORGAN STANLEY	CRD# 149777	DES MOINES, IA
IA	11/03/2008 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DES MOINES, IA
B	10/31/2008 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DES MOINES, IA
IA	08/31/2001 - 11/11/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	CLIVE, IA
B	04/09/2001 - 11/11/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	CLIVE, IA
B	05/02/2001 - 11/30/2001	BRENTON INVESTMENTS, INC.	CRD# 29462	PLYMOUTH, MN
B	04/27/2001 - 07/26/2001	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	MINNEAPOLIS, MN
B	05/25/1999 - 04/03/2001	PFIC SECURITIES CORPORATION	CRD# 34941	FRANKLIN, TN

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
08/2019 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WEST DES MOINES, IA, United States
08/2019 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	WEST DES MOINES, IA, United States
10/2008 - Present	CITIGROUP GLOBAL MARKETS INC.	FA/ VP	Y	DES MOINES, IA, United States
01/2015 - 08/2019	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 08/2019	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	DES MOINES, IA, United States

Registration & Employment History

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) Name: YMCA
Position: Board Chair: On executive committee that governs organization
Investment Related: No Hours: 16 Securities Trading Hours: 10 Start Date: 08/01/2015
Address: 114 1/2 5th Street, West Des Moines IA 50265, United States
Description: Memberships on boards and similar governing bodies - for profit and nonprofit organizations

(2) Name: 3Putt Publishing
Position: Owner   Nature: This is the publishing company we set up for our book Empty Nest Full Pockets. It is being self published under this moniker and will be available on May 31, 2022. Investment Related: No Hours: 10
Securities Trading Hours: 5   Start Date: 04/29/2022
Address: 114 1/2 5th Street, West Des Moines IA 50265, United States
Additional Info:
Description: Author Marketing General promotion

(3) Name: PrairieFire College Planning
Position: CEO Nature: Building plans to help families pay for college via College Aid Pro software Investment Related: No Hours: 20 Securities Trading Hours: 10 Start Date: 05/01/2022
Address: 114 1/2 5th Street, West Des Moines IA 50265, United States
Description: Oversee the process and employees that implement the college planning process

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	CUSTOMER'S STATE THAT THEIR TRUST RELIED ON AND TRUSTED THE ADVICE OF THE FC TO INVEST THEIR MONEY ACCORDING TO THEIR INVESTMENT PROPOSAL, ONLY TO DISCOVER THEIR FUNDS WERE PLACED IN THE RISKIEST, MOST SPECULATIVE INVESTMENTS RESULTING IN LOSSES TO THEIR ACCOUNT. THEY REQUEST THE TRUST BE COMPENSATED FOR LOSSES SUFFERED (FEBRUARY-DECEMBER 2008). THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT DAMAGES EXCEED $5,000.
Product Type:	CD Money Market Fund Mutual Fund
Alleged Damages:	$176,825.56

Customer Complaint Information

Date Complaint Received:	12/24/2008
Complaint Pending?	No
Status:	Settled
Status Date:	04/23/2009
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-01824
Date Notice/Process Served:	04/28/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/21/2009
Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Firm Statement	CLAIM SETTLED ON 12/21/2009. SETTLEMENT OCCURRED OUTSIDE OF ARBITRATION. AS PART OF THE SETTLEMENT, ARBITRATION IS TO BE DISMISSED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	CUSTOMER'S STATE THAT THEIR TRUST RELIED ON AND TRUSTED THE ADVICE OF THE FC TO INVEST THEIR MONEY ACCORDING TO THEIR INVESTMENT PROPOSAL, ONLY TO DISCOVER THEIR FUNDS WERE PLACED IN THE RISKIEST, MOST SPECULATIVE INVESTMENTS RESULTING IN LOSSES TO THEIR ACCOUNT. THEY REQUEST THE TRUST BE COMPENSATED FOR LOSSES SUFFERED (FEBRUARY - DECEMBER 2008). THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT DAMAGES EXCEED $5,000.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-01824
Filing date of arbitration/CFTC reparation or civil litigation:	04/23/2009

Customer Complaint Information

Date Complaint Received:	12/24/2008
Complaint Pending?	No

Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/23/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-01824
Date Notice/Process Served:	04/23/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/21/2009
Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AN UNEXPECTED DRAWDOWN OF FUNDS TOTALING NEARLY 50% OF THE ACCOUNT BALANCE CREATED AN INBALANCE THAT WAS BROUGHT TO THE CLIENT'S ATTENTION. THE BOARD DID NOT ADDRESS THE ISSUE UNTIL THE TIME OF THIS COMPLAINT DESPITE REGULAR COMMUNICATION OF THE ACCOUNT'S BALANCE AND ASSET ALLOCATION. THE FUNDS WERE DISBURSED AND MANAGED AT THE CLIENT'S DISCRETION. ALL NECESSARY INFORMATION WAS GIVEN TO THE CLIENT TO MAKE INFORMED DECISIONS REGARDING THEIR INVESTMENT ACCOUNT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	INVESTMENT UNSUITABLE AS CONTRARY TO BALANCED AND WELL-DIVERSIFIED INSTRUCTIONS CLIENT PROVIDED TO BROKER. THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES ARE OVER $5,000.
Product Type:	Other
Other Product Type(s):	REIT
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	12/07/2007
Complaint Pending?	No
Status:	Denied
Status Date:	01/04/2008

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT ENGAGED WELLS FARGO TO PROPOSE A LONG TERM INVESTMENT PLAN FOR TAXABLE MONIES. A WRITTEN PROPOSAL WAS DRAFTED, EXPLAINED OVER A PERIOD OF 3 MEETINGS, AND AGREED TO BY THE CLIENT. IT WAS MUTUALLY AGREED THAT, WHEN POSSIBLE, THE INVESTMENTS WOULD BE AVERAGED INTO OVER A PERIOD OF 90 DAYS. BEFORE THE AVERAGING WAS COMPLETE THE CLIENT BEGAN TO WITHDRAW CASH FROM THE PORTFOLIO AND HE ASKED THAT NO FURTHER MONIES BE INVESTED. SUBSEQUENTLY, THE AVERAGING STRATEGY WAS INCOMPLETE. MULTIPLE ATTEMPTS WERE MADE BY MYSELF AND THE CLIENT'S BANKER TO MEET AND DISCUSS THE ACCOUNT. THESE WERE CONTINUALLY RESCHEDULED AND CANCELLED BY THE CLIENT. THE EVALUATION OF ONE OUT OF EIGHTEEN HOLDINGS IS NOT AN ACCURATE ASSESSMENT OF THE ACCOUNT'S PERFORMANCE OR PURPOSE. ALL OF THE MEETINGS AND THE AGREEMENT TO THE PROPOSAL WERE WITNESSED BY THE CLIENT'S BANKER.

End of Report

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