



IAPD Report

JASON DANIEL SAYLES

CRD# 4140191

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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

JASON DANIEL SAYLES (CRD# 4140191)

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 **03/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL MARKETS IQ, LLC	CRD# 134921	09/22/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** 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	HAJEK ADVISORY CONSULTANTS, LLC	170621	ST. PETERSBURG, FL	11/17/2014 - 10/03/2016
B	NFP SECURITIES, INC.	42046	ST. PETERSBURG, FL	06/14/2013 - 02/05/2014
B	CETERA FINANCIAL SPECIALISTS LLC	10358	ST. PETERSBURG, FL	12/19/2007 - 06/21/2013

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 **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CAPITAL MARKETS IQ, LLC**

Main Address: **ARLINGTON, TX**

Firm ID#: **134921**

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	12/05/2018
IA Florida	Investment Adviser Representative	Approved	09/22/2017
IA Louisiana	Investment Adviser Representative	Approved	01/28/2022
IA North Carolina	Investment Adviser Representative	Approved	08/03/2023
IA South Carolina	Investment Adviser Representative	Approved	12/08/2022
IA Texas	Investment Adviser Representative	Restricted Approval	01/10/2022

Branch Office Locations

CAPITAL MARKETS IQ, LLC
5308 Central Avenue
St. Petersburg, FL 33707



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/14/2004
B Assistant Representative-Order Processing Qualification Exam (S11)	Series 11	08/30/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/15/2014

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	11/17/2014 - 10/03/2016	HAJEK ADVISORY CONSULTANTS, LLC	CRD# 170621	ST. PETERSBURG, FL
B	06/14/2013 - 02/05/2014	NFP SECURITIES, INC.	CRD# 42046	ST. PETERSBURG, FL
B	12/19/2007 - 06/21/2013	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	ST. PETERSBURG, FL
B	09/01/2003 - 12/20/2007	FFP SECURITIES, INC.	CRD# 16337	ST. PETERSBURG, FL

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
05/2017 - Present	Captial Markets IQ	IAR REGISTERED REPRESENTATIVE	Y	Wilmington, DE, United States
12/2016 - Present	Catapult Creative Consulting, LLC	Office Management	N	St. Petersburg, FL, United States
12/2008 - 12/2016	HAJEK CPA PA	DIRECTOR OF OPERATIONS	Y	ST PETERSBURG, FL, United States
02/2014 - 10/2016	HAJEK ADVISORY CONSULTANTS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ST. PETERSBURG, 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.

1) Catapult Creative, Not Investment Related, 5697 63rd Lane, St. Petersburg, FL, Corporate Training and Consulting, Partner, 09/10/2014, 80 hours per month, 4 hours during trading hours, Operations Manager for the firm preparing all financial reporting and documentation for the firm.

2) President and owner of Apex Wealth Consultants Inc. in St. Petersburg, Florida. This entity provides business, administrative and consulting services, and access to unaffiliated, third-party accounting, tax, retirement and insurance service providers to address the needs of certain business clients and self-directed retirement plans. 80 hours per month. 4 hours during trading hours



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:	FINRA
Sanction(s) Sought:	
Date Initiated:	01/21/2016
Docket/Case Number:	2013037390601
Employing firm when activity occurred which led to the regulatory action:	Genworth Financial Securities Corporation, Cetera Financial Specialists LLC, and NFP Securities, Inc.
Product Type:	Other: Private securities
Allegations:	Without admitting or denying the findings, Sayles consented to the sanctions and to the entry of findings that he exceeded the scope of the permission he was given by his member firm to engage in a business of a certified public accountancy (CPA) firm as an outside business activity. The findings stated that though Sayles was required to notify his firm of his involvement with the CPA firm in writing, in accordance with the firm's procedures, he failed to do so for four years. When Sayles updated his outside business activity (OBA) form to include the CPA firm, the firm approved Sayles' involvement with the OBA. Through the CPA firm, Sayles assisted customers open and administer self-directed IRAs. Some customers opening self-directed IRA accounts were also customers of Sayles' firms. Also, some of these customers transferred a total of nearly \$1.8 million in cash and assets from their firm accounts to their self-directed IRA accounts. Many of the customers who opened self-directed IRAs held securities in their accounts. Additionally, Sayles continued to engage in this business for approximately three months after his firm directed him to cease. The findings also stated that Sayles was involved with other OBAs that he was obligated to disclose to his firms in writing, as required by WSPs, and he failed to do so. Sayles also failed to properly



disclose his involvement with OBAs to a firm upon association with that firm. The findings also included that Sayles participated in private securities transactions effected in customers' self-directed IRAs totaling more than \$2.3 million that were done away from his firms, as such, Sayles was required to notify his firms in writing of his participation in them prior to participating in them and he failed to do so.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/21/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: 10 months
Start Date: 02/01/2016
End Date: 11/30/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$15,000.00
Portion Levied against individual: \$15,000.00
Payment Plan: deferred
Is Payment Plan Current: No
Date Paid by individual:
Was any portion of penalty waived? No

**Amount Waived:**

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 01/21/2016
Docket/Case Number: 20130373906
Employing firm when activity occurred which led to the regulatory action: CETERA FINANCIAL SPECIALISTS LLC
Product Type: Investment Contract
Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, SAYLES CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDING THAT HE EXCEEDED THE SCOPE OF THE PERMISSION HE WAS GIVEN BY HIS MEMBERSHIP FIRM TO ENGAGED IN A BUSINESS OF A CERTIFIED PUBLIC ACCOUNTANCY (CPA) FIRM AS AN OUTSIDE BUSINESS ACTIVITY.
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Resolution Date: 01/21/2016
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: 10 MONTHS
Start Date: 02/01/2016
End Date: 11/30/2016
Monetary Sanction 1 of 1
Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$15,000.00
Portion Levied against individual: \$15,000.00
Payment Plan: DEFERRED
Is Payment Plan Current:

**Date Paid by individual:**

Was any portion of penalty waived? No

Amount Waived:**Broker Statement**

Upon affiliation with the member firm in December 2007, Sayles disclosed his involvement with a certified public accountancy (CPA) firm both verbally and in writing through his OBA disclosure in accordance with the firm's procedures. In completing the OBA, Sayles relied on the member firm's compliance team for guidance and instruction on completing the OBA, on which he designated "none" for no other OBA, other than association with the CPA firm. The firm's Branch Office Inspections, completed by third party examiner's in November 2008 and December 2011, found no material deficiencies. Sayles assisted clients with the preparation of paperwork related to Self-Directed IRA's as dictated under his role as Director of Operations of the CPA firm. Some customers of the member firm utilized Self-Directed IRA's to facilitate the purchase of private LLC entities, of which membership interest was held by the IRA and management was retained by the IRA owner. Sayles had no ownership interest or management authority in these entities. In addition, Sayles received no income outside of his standard compensation from the CPA firm. Prior to affiliation with the member firm in June 2013, Sayles verbally communicated in writing with the member firm all activities and OBA upon affiliation. Sayles continued to communicate with the member firm to ensure full disclosure through February 2014 at which time he resigned from the member firm.



End of Report

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