



## IAPD Report

# CHARLES MICHAEL JONES

CRD# 4254460

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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 MICHAEL JONES (CRD# 4254460)

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 **03/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STONEX SECURITIES INC.	CRD# 18456	08/03/2018
<b>IA</b>	AXIENT INVESTMENT ADVISORS LLC	CRD# 336722	02/06/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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>IA</b>	STONEX ADVISORS INC.	174182	Gadsden, AL	08/03/2018 - 02/11/2026
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	GADSDEN, AL	02/13/2013 - 08/09/2018
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	GADSDEN, AL	02/13/2013 - 08/09/2018

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
Criminal	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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **AXIENT INVESTMENT ADVISORS LLC**  
Main Address: 403 MADISON ST SE  
2ND FL  
HUNTSVILLE, AL 35801  
Firm ID#: 336722

Regulator	Registration	Status	Date
IA Alabama	Investment Adviser Representative	Approved	02/06/2026
IA Texas	Investment Adviser Representative	Restricted Approval	03/03/2026

#### Branch Office Locations

**AXIENT INVESTMENT ADVISORS LLC**  
247 S 4th St  
Gadsden, AL 35901

#### Employment 2 of 2

Firm Name: **STONEX SECURITIES INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 18456

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/03/2018
B Alabama	Agent	Approved	08/03/2018
B Florida	Agent	Approved	08/03/2018
B Georgia	Agent	Approved	08/03/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Illinois	Agent	Approved	08/03/2018
<b>B</b> Indiana	Agent	Approved	10/08/2018
<b>B</b> Kentucky	Agent	Approved	08/03/2018
<b>B</b> Louisiana	Agent	Approved	08/03/2018
<b>B</b> North Carolina	Agent	Approved	08/03/2018
<b>B</b> Texas	Agent	Approved	10/07/2021
<b>B</b> West Virginia	Agent	Approved	02/14/2019

### Branch Office Locations

247 South 4th Street  
Gadsden, AL 35901



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	09/08/2000
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	09/15/2000
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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	08/03/2018 - 02/11/2026	STONEX ADVISORS INC.	CRD# 174182	Gadsden, AL
B	02/13/2013 - 08/09/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	GADSDEN, AL
IA	02/13/2013 - 08/09/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	GADSDEN, AL
B	02/13/2007 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	GADSDEN, AL
IA	02/13/2007 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	GADSDEN, AL
IA	07/10/2003 - 02/20/2007	AMSOUTH INVESTMENT MANAGEMENT COMPANY LLC	CRD# 111757	BIRMINGHAM, AL
B	01/03/2001 - 02/13/2007	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	GADSDEN, AL
IA	02/03/2003 - 07/22/2003	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	GADSDEN, AL
B	09/11/2000 - 01/18/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/11/2000 - 01/18/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

### 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
08/2018 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	GADSDEN, AL, United States
08/2018 - 02/2026	STONEX ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	GADSDEN, AL, United States
02/2013 - 08/2018	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	GADSDEN, AL, 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)A and W FINANCIAL SOLUTIONS LLC - 247 S 4TH STREET, GADSDEN, AL 35901

NATURE OF BUSINESS: RENTAL REAL ESTATE AND INVESTMENT SERVICES

INVESTMENT RELATED: YES

BUSINESS POSITION: SOLE PROPRIETOR OF LLC

BUSINESS DUTIES: LLC OPERATOR AND FINANCIAL CONSULTANT

BUSINESS START DATE: 01/01/2012

APPROXIMATELY 10 HOURS SPENT ON THIS OBA MONTHLY WITH 40 SPENT MONTHLY DURING MARKET HOURS.

2)The Blue Hydrangea, Albertville LLC

PO Box 1685, Gadsden, AL 35901

Own Rental Real Estate

Non-Investment related

Operate LLC

08/01/2018

10 hours spent per month and 0 during market hours

3)The Blue Hydrangea LLC

PO Box 1685, Gadsden, AL 35901

Real Estate

Non-investment related

Partner

02/01/14

10 hours spent per month and 0 during market hours

4) Greater Gadsden Home builders Association

PO Box 1135 Gadsden, AL 35901

Director

Is not investment related

Board Member - unpaid

Board Member

12/01/2018 - start date

Approximately 2 hours per month on this OBA with zero during Market Hours.

5) Aim Point Capital LLC

201 Williams Avenue SW Huntsville, AL 35801

Nature of Business: Real Estate

Investment Related: Non-Investment Related

Title: Member

Duties: Member

Start Date: 01/03/2020

Hours Devoted to Business: 2

Hours Devote to Business during Market Hours: 0

6) ASTRO CAPITAL PARTNERS LLC 201 WILLIAMS AVE HUNTSVILLE AL 35801

NATURE OF BUSINESS: REAL ESTATE

INVESTMENT RELATED: NO

BUSINESS POSITION: PARTNER IN LLC

BUSINESS DUTIES: NONE / OWNER PASSIVE

BUSINESS START DATE: 06/16/2021



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

APPROXIMATELY ZERO HOURS SPENT ON THIS OBA MONTHLY

7) KIRKLEY DEVELOPMENT LLC PO BOX 1685 GADSDEN AL 35902

NATURE OF BUSINESS: REAL ESTATE

INVESTMENT RELATED: NO

BUSINESS POSITION: PRESIDENT

BUSINESS DUTIES: MANAGE

BUSINESS START DATE: 10/07/2021

APPROXIMATELY TWO HOURS SPENT ON THIS OBA MONTHLY, WITH ZERO SPENT DURING MARKET HOURS.

8) CMJ RESIDENTIAL LLC PO BOX 1685 GADSDEN AL 35902

NATURE OF BUSINESS: REAL ESTATE

INVESTMENT RELATED: NO

BUSINESS POSITION: PRESIDENT

BUSINESS DUTIES: MANAGE

BUSINESS START DATE: 10/07/2021

APPROXIMATELY 2 HOURS SPENT ON THIS OBA WITH ZERO DURING MARKET HOURS.

9) CMJ HOLDINGS LLC PO BOX 1685 GADSDEN AL 35902

Nature of Business: Real Estate

Investment Related: No

Business Position: President

Business Duties: Manage

Business Start Date: 10/07/2021

Approximately two hours spent on this OBA with zero spent during market hours.

10) Lamppost Properties LLC PO Box 1685 Gadsden AL 35902

Nature of Bus: Real estate

Inv Related: No

Bus Position: President

Bus Duties: Operator

Bus Start Date: 01/19/2022

10 hrs spent on this OBA monthly/zero during market hours

11) EAGLE CREEK WEALTH MANAGEMENT LLC - 201 WILLIAMS AVE SW, HUNTSVILLE AL 35801

Nature of Business: Financial

Investment Related: Yes

Business Position: Managing Partner

Business Duties: partner

Business Start Date: 10/04/2022

Approximately 160 hours spent on this OBA monthly, with 160 during market hours.

12) Anointed properties llc - 247 s 4th street, Gadsden al 35901

Nature of Business: Real estate

Investment Related: Yes

Business Position: Partner

Business Duties: Operations

Business Start Date: 01/09/2023

Approximately 10 hours spent on this OBA monthly, with 10 during market hours.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

13) Kingdom Pursuit LLC - 247 s 4th st gadsden al 35901

Nature of Business: real estate

Investment Related: No

Business Position: member

Business Duties: managing member

Business Start Date: 9/25/2023

Approximately 10 hours spent on this OBA monthly, with 5 during market hours.

14) THE BLUE HYDRANGEA OF GADSDEN -247 S 4TH STREET, GADSDEN , AL 35901

NATURE OF BUSINESS: REAL ESTATE OWNERSHIP

INVESTMENT RELATED: No

BUSINESS POSITION: PRESIDENT

BUSINESS DUTIES: MANAGEMENT

BUSINESS START DATE: 10/07/2021

APPROX. FIVE HOURS SPENT ON THIS OBA MONTHLY, WITH ZERO DURING MARKET HOURS.

15) REAL ESTATE LICENSURE

247 S 4th Street, Gadsden AL 35901

Leasing personal properties and selling personal properties

Is investment related

Currently passed exam, placing licensure has not occur

12/19/2024

Ten hours spent monthly



## 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
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Criminal	1
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Circuit Court of Jefferson County, Tenth Judicial Circuit
<b>Location of Court:</b>	Jefferson County, Alabama
<b>Docket/Case #:</b>	CC-2023-001482
<b>Charge Date:</b>	06/13/2023

#### Charge(s) 1 of 2

<b>Formal Charge(s)/Description:</b>	AGG CH AB MULT ACTS 38020510 - The Grand Jury of said county charge that, before the finding of this indictment, Charles Michael Jones, whose name is to the Grand Jury otherwise unknown, a responsible person, as defined by Section 26-15-2, having permanent or temporary care or custody or responsibility for the supervision of A.J., a child under the age of eighteen (18) years, did willfully torture, willfully abuse, cruelly beat or otherwise willfully maltreat said child by hitting and/or beating and/or strangling and/or child and/or whipping child and/or child's body parts with hand and/or objects, said abuse having taken place on more than one occasion. In violation of Section 26-15-3. 1(a)(1). Code of Alabama, against the peace and dignity of the State of Alabama.
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<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed

#### Charge(s) 2 of 2

<b>Formal Charge(s)/Description:</b>	CH AB 38020500 - The Grand Jury of said county charge that, before the finding of this indictment, Charles Michael Jones, whose name is to the Grand Jury otherwise unknown, a responsible person, as defined in Section 26-15-2, having permanent or temporary care or custody or responsibility for the supervision of
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A.J., a child under the age of eighteen (18) years, did willfully torture, willfully abuse, cruelly beat or otherwise willfully maltreat said child by hitting and/or beating and/or strangling and/or child and/or whipping child and/or child's body parts with hand and/or objects, in violation of Section 26-15-3, Code of Alabama, against the peace and dignity of the State of Alabama.

<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	05/19/2025
<b>Charge was Amended or reduced to:</b>	Assault 3rd
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	Guilty
<b>Disposition of Amended Charge:</b>	Convicted
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/19/2025
<b>Disposition Date:</b>	05/19/2025
<b>Sentence/Penalty:</b>	2 days to serve in Jefferson County jail; 12 months/split. 18 month unsupervised probation. \$100 fine.



## End of Report

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