



IAPD Report

George Edward Mathis

CRD# 4271854

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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

George Edward Mathis (CRD# 4271854)

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 **01/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	11/18/2011
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	11/29/2011

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **43** 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	WELLS FARGO ADVISORS, LLC	19616	THE VILLAGES, FL	01/01/2008 - 11/14/2011
IA	WELLS FARGO ADVISORS, LLC	19616	THE VILLAGES, FL	01/01/2008 - 11/14/2011
B	A. G. EDWARDS & SONS, INC.	4	THE VILLAGES, FL	11/09/2000 - 01/03/2008

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	3



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 **43** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/18/2011
B	Investors' Exchange LLC	General Securities Representative	Approved	11/05/2025
B	MEMX LLC	General Securities Representative	Approved	11/05/2025
B	NYSE American LLC	General Securities Representative	Approved	11/18/2011
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/05/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/05/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/18/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	11/18/2011
B	New York Stock Exchange	General Securities Representative	Approved	11/18/2011
B	Alabama	Agent	Approved	01/28/2020
B	Alaska	Agent	Approved	03/21/2022
B	Arizona	Agent	Approved	07/11/2017
B	Arkansas	Agent	Approved	07/20/2021



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	11/18/2011
B	Colorado	Agent	Approved	02/27/2019
B	Connecticut	Agent	Approved	02/22/2017
B	District of Columbia	Agent	Approved	05/07/2019
B	Florida	Agent	Approved	11/18/2011
IA	Florida	Investment Adviser Representative	Approved	11/29/2011
B	Georgia	Agent	Approved	11/29/2016
B	Hawaii	Agent	Approved	03/31/2025
B	Illinois	Agent	Approved	11/18/2011
B	Indiana	Agent	Approved	11/28/2011
B	Iowa	Agent	Approved	04/24/2018
B	Kansas	Agent	Approved	01/18/2023
B	Kentucky	Agent	Approved	04/28/2015
B	Louisiana	Agent	Approved	07/26/2017
B	Maine	Agent	Approved	01/31/2018
B	Maryland	Agent	Approved	05/05/2014
B	Massachusetts	Agent	Approved	12/12/2011
B	Michigan	Agent	Approved	07/24/2012
B	Minnesota	Agent	Approved	05/06/2021



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	11/18/2011
B	Nebraska	Agent	Approved	02/05/2018
B	Nevada	Agent	Approved	08/18/2020
B	New Hampshire	Agent	Approved	08/26/2021
B	New Jersey	Agent	Approved	01/18/2013
B	New York	Agent	Approved	09/20/2012
B	North Carolina	Agent	Approved	12/05/2011
B	North Dakota	Agent	Approved	09/25/2023
B	Ohio	Agent	Approved	01/03/2012
B	Oklahoma	Agent	Approved	03/08/2012
B	Oregon	Agent	Approved	03/06/2025
B	Pennsylvania	Agent	Approved	11/18/2011
B	Puerto Rico	Agent	Approved	01/07/2025
B	Rhode Island	Agent	Approved	07/12/2013
B	South Carolina	Agent	Approved	12/14/2016
B	South Dakota	Agent	Approved	12/02/2024
B	Tennessee	Agent	Approved	02/03/2023
B	Texas	Agent	Approved	11/18/2011
IA	Texas	Investment Adviser Representative	Restricted	03/23/2017



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Virginia	Agent	Approved	12/13/2017
B Washington	Agent	Approved	08/17/2022
B Wisconsin	Agent	Approved	12/12/2019

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
BROWNWOOD PADDOCK SQUARE
2631 WEST TORCH LAKE DRIVE
THE VILLAGES, FL 32163

RAYMOND JAMES & ASSOCIATES, INC.
Ocala, FL



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/08/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/06/2000



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
B	01/01/2008 - 11/14/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	THE VILLAGES, FL
IA	01/01/2008 - 11/14/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	THE VILLAGES, FL
B	11/09/2000 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	THE VILLAGES, FL
IA	11/13/2000 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	THE VILLAGES, 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
11/2011 - Present	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	THE VILLAGES, 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) Bikes for Tikes Ocala 1920 SW 12 Ave, Ocala, FL, 34471, Non profit Position/Title: Officer - CEO I/R: Yes 11/24/2020 HPM : 2-10 HPM during trading hours: 0-1Duties: we collect bicycles and donations for needy families, churches, battered women and children shelters, and community outreach programs.
- (2) CM Capital Holdings LLC 1504 se 25th Terrace , Ocala, FL, 34471, Business Owner Position/Title: Partner I/R: No 06/10/2014 HPM : 0-1 HPM during trading hours: 0-1Duties: Buy, sell, and rent realestate
- (3) CM capital Holdings LLC 1504 SE 25 Terrace , Ocala, FL, 34471, Rental Real Estate Position/Title: Partner I/R: Yes 06/10/2014 HPM : 0-1 HPM during trading hours: 0-1Duties: Owner/partner of rental property
- (4) DGM Capital Holdings LLC 1920 SW 12 Ave , Ocala , FL, 34471, Rental Real Estate Position/Title: Partner I/R: Yes 11/16/2023 HPM : 0-1 HPM during trading hours: 0-1Duties: Very little. It's a commercial building that we are buying and will lease out to a business.
- (5) DGM Capital Holdings LLC 1504 SE 25 Terrace, Ocala, FL, 34471, Business Owner Position/Title: Partner I/R: No 12/28/2023 HPM : 0-1 HPM during trading hours: 0-1Duties: Partner
- (6) GTA Capital Holdings 1920 SW 12 AVE , OCALA, FL, 34471, Business Owner Position/Title: Owner/Proprietor I/R: No 08/01/2023 HPM : 2-10 HPM during trading hours: 0-1Duties: Invest in holding, development and selling of real estate.
- (7) Jacksonville Sharks 1504 SE 25th Terrace, Ocala, FL, 34471, Business Owner Position/Title: Owner/Proprietor I/R: No 12/16/2025 HPM : 0-1 HPM during trading hours: 0-1Duties: No day to day responsibilities. Just periodic meetings
- (8) Mathis Properties LLC 1504 SE 25 Terrace, Ocala, FL, 34471, Business Owner Position/Title: Owner/Proprietor I/R: Yes 07/06/2015 HPM : 2-10 HPM during trading hours: 0-1Duties: OWN AND OPERATE REAL ESTATE RENTALS, SALES AND REHABS.
- (9) Mathis Properties LLC 1504 Se 25 Terrace, Ocala, FL, 34471, Rental Real Estate Position/Title: Owner/Proprietor I/R: Yes



Registration & Employment History



OTHER BUSINESS ACTIVITIES

07/06/2015 HPM : 2-10 HPM during trading hours: 0-1Duties: Owner

(10) MC Sports Holding LLC 1504 SE 25 Terrace , Ocala, FL, 34471, Business Owner Position/Title: Partner I/R: No 12/04/2025 HPM : 0-1 HPM during trading hours: 0-1Duties: It is a holding LLC to hold my minority stake in the Jacksonville Sharks indoor professional football team.

(11) Signature Title & Escrow Services LLC. 1920 SW 12th Ave, Ocala, FL, 34471, Business Owner Position/Title: Officer - CEO I/R: No 06/11/2018 HPM : 2-10 HPM during trading hours: 0-1Duties: INVESTOR



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James and Associates
Allegations:	Client, through his attorney, alleges investment losses resulting from unsuitable recommendations. Activity Date is 1/24/14 - 9/30/16.
Product Type:	No Product
Alleged Damages:	\$65,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - Chicago (Dispute Resolution)
Docket/Case #:	18-01663
Filing date of arbitration/CFTC reparation or civil litigation:	04/20/2018

Customer Complaint Information

Date Complaint Received:	05/02/2018
Complaint Pending?	No



Status: Settled

Status Date: 02/14/2019

Settlement Amount: \$14,900.00

Individual Contribution Amount: \$0.00

Broker Statement The only thing that changed was the client's time horizon from 5.10 years to less than 2 years.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: CLIENT ALLEGES UNSUITABILITY, MISREPRESENTATION, OMISSIONS, BREACH OF FIDUCIARY DUTY, VIOLATIONS OF NASD CONDUCTS RULE 301(A), CONDUCT RULE 2010, FINFA CONDUCT RULE 2010, FINRA RULE 2111, NEGLIGENCE, AND BREACH OF CONTACT AND VICARIOUS LIABILITY. THE ACTIVITY DATE IS 9/03/2013 THROUGH 01/28/2016.

Product Type: Direct Investment-DPP & LP Interests
Equity-OTC

Alleged Damages: \$190,000.00

Alleged Damages Amount Explanation (if amount not exact): \$190,000 represents the aggregate damage for both claimants

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- BOCA RATON

Docket/Case #: 16-02267(LA), 16-0226(LA)

Filing date of arbitration/CFTC reparation or civil litigation: 08/01/2016

Customer Complaint Information

Date Complaint Received: 08/17/2016

Complaint Pending? No

Status: Settled

Status Date: 10/24/2017

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$14,463.05

Broker Statement I ADAMANTLY DENY THE CLIENT'S ALLEGATIONS. THE CLIENT WAS FULLY



AWARE OF THE OPPORTUNITIES AND RISKS ASSOCIATED WITH THE INVESTMENTS. WE DISCUSSED RISK TOLERANCE, OBJECTIVES AND TIMEFRAMES ON NUMEROUS OCCASIONS. WE MET REGULARLY IN PERSON AND OVER THE PHONE TO REVIEW THE PORTFOLIOS.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION. DATE OF ACTIVITY IS 5/31/2015 THROUGH 8/21/2015.

Product Type: Debt-Municipal
Equity Listed (Common & Preferred Stock)
Mutual Fund
Other: REITS

Alleged Damages: \$17,946.90

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/24/2015

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/15/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement I deny any wrongdoing. The client was concerned about the fluctuation of his portfolio value and wrote a letter asking questions about the fluctuation. I spoke to him after receiving the letter and he did not intent it to be a formal complaint. He is still a client and plans to maintain his investment relationship with me.



End of Report

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