IAPD Report

CLINTON BRIAN GALYEAN

CRD# 4468512

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

CLINTON BRIAN GALYEAN (CRD# 4468512)

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 **08/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL INVESTMENT PARTNERS LLC	CRD# 309469	07/31/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	GAINESVILLE, GA	02/27/2017 - 10/22/2020
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	GAINESVILLE, GA	01/27/2017 - 10/22/2020
IA	INVESTMENT ADVISORS	15708	GAINESVILLE, GA	06/30/2006 - 01/20/2017

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
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**CAPITAL INVESTMENT PARTNERS LLC**
Main Address:	204 W. ACADEMY STREET GAINESVILLE, GA 30501
Firm ID#:	309469

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	07/31/2020

Branch Office Locations

CAPITAL INVESTMENT PARTNERS LLC
204 W. ACADEMY STREET
GAINESVILLE, GA 30501

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/15/2002

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	11/08/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/04/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/27/2001

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	02/27/2017 - 10/22/2020	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	GAINESVILLE, GA
B	01/27/2017 - 10/22/2020	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	GAINESVILLE, GA
IA	06/30/2006 - 01/20/2017	INVESTMENT ADVISORS	CRD# 15708	GAINESVILLE, GA
B	11/11/2005 - 01/20/2017	PROEQUITIES, INC.	CRD# 15708	GAINESVILLE, GA
B	09/22/2004 - 11/15/2005	USALLIANZ SECURITIES, INC.	CRD# 40875	MINNEAPOLIS, MN
IA	09/22/2004 - 11/15/2005	USALLIANZ SECURITIES, INC.	CRD# 40875	GAINESVILLE, GA
B	11/09/2001 - 09/24/2004	PAN-AMERICAN FINANCIAL ADVISERS	CRD# 15578	NEW ORLEANS, LA

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
06/2005 - Present	CAPITAL INVESTMENT PARTNERS, LLC	MANAGING MEMBER	Y	GAINESVILLE, GA, United States
01/2017 - 09/2020	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	GAINESVILLE, GA, United States
11/2005 - 01/2017	PROEQUITIES, INC	REGISTERED REP	Y	GAINESVILLE, GA, 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) CAPITAL INVESTMENT PARTNERS, LLC 204 WEST ACADEMY STREET, GAINESVILLE, GA 30501 - UNAFFILIATED RIA - OWNER/ADVISOR SINCE 8/2020 - APPROX 160 HRS/MO - FEE BASED COMPENSATION
2) GALYEAN INVESTMENT PROPERTIES, LLC 204 WEST ACADEMY STREET, GAINESVILLE, GA 30501 - RENTAL PROPERTIES - 100% OWNER SINCE 2005 - APPROX 10 HRS/MO - NET RENTAL INCOME

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
Termination	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:	11/05/2018
Docket/Case Number:	2017052960801
Employing firm when activity occurred which led to the regulatory action:	ProEquities, Inc.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Galvean consented to the sanctions and to the entry of findings that he used a personal email account to conduct his securities business, including to communicate with customers and prospective customers. The findings stated that his member firm discovered he had been using his personal email account to conduct some of his securities business and requested that he provide his personal email account password so that the firm could review the nature and extent of the securities business he had conducted through personal email. Although Galyean at first provided his password to the firm, he subsequently began deleting emails from his personal account, and then changed his password, in an attempt to prevent the firm from further accessing his emails. The findings also stated that by using personal email to conduct his securities business, Galyean caused the firm to maintain inaccurate books and records. The findings also included that Galyean certified inaccurately on firm's annual compliance questionnaires that he did not use personal email to conduct

	his securities business.
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:	11/05/2018
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:	60 days
Start Date:	12/03/2018
End Date:	01/31/2019

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/12/2018
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Fines paid in full on December 12, 2018.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/05/2018
Docket/Case Number:	2017052960801

Employing firm when activity occurred which led to the regulatory action:	PROEQUITIES, INC.
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, GALYEAN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE USED A PERSONAL EMAIL ACCOUNT TO CONDUCT HIS SECURITIES BUSINESS, INCLUDING TO COMMUNICATE WITH CUSTOMERS AND PROSPECTIVE CUSTOMERS. THE FINDINGS STATED THAT HIS MEMBER FIRM DISCOVERED HE HAD BEEN USING HIS PERSONAL EMAIL ACCOUNT TO CONDUCT SOME OF HIS SECURITIES BUSINESS AND REQUESTED THAT HE PROVIDE HIS PERSONAL EMAIL ACCOUNT PASSWORD SO THAT THE FIRM COULD REVIEW THE NATURE AND EXTENT OF THE SECURITIES BUSINESS HE HAD CONDUCTED THROUGH PERSONAL EMAIL. ALTHOUGH GALYEAN AT FIRST PROVIDED HIS PASSWORD TO THE FIRM, HE SUSBSEQUENTLY BEGAN DELETING EMAILS FROM HIS PERSONAL ACCOUNT, AND THEN CHANGED HIS PASSWORD, IN AN ATTEMPT TO PREVENT THE FIRM FROM FURTHER ACCESSING HIS EMAILS. THE FINDINGS ALSO STATED THAT BY USING PERSONAL EMAIL TO CONDUCT HIS SECURITIES BUSINESS, GALYEAN CAUSED THE FIRM TO MAINTAIN INACCURATE BOOKS AND RECORDS. THE FINDINGS ALSO INCLUDED THAT GALYEAN CERTIFIED INACCURATELY ON FIRM'S ANNUAL COMPLIANCE QUESTIONNAIRES THAT HE DID NOT USE PERSONAL EMAIL TO CONDUCT HIS SECURITIES BUSINESS.
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:	11/05/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	60 DAYS
Start Date:	12/03/2018
End Date:	01/31/2019
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	

Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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:	Individual
Employing firm when activities occurred which led to the complaint:	PROEQUITIES, INC.
Allegations:	CUSTOMER ALLEGED THAT REPRESENTATIVE'S ADVICE TO EXCHANGE ANNUITY POLICIES CAUSED A LOSS OF DEATH BENEFIT IN THE AMOUNT OF $27,885.04
Product Type:	Annuity-Variable
Alleged Damages:	$27,885.04
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:	05/13/2010
Complaint Pending?	No
Status:	Denied
Status Date:	06/04/2010
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE CLIENT DID NOT PROVIDE DOCUMENTATION REGARDING THE REPLACED POLICY, THEREFORE WE CANNOT CONFIRM THE ACCURACY OF ALLEGED DAMAGES. CLIENT WAS SATISFIED WITH THE POLICY; AND REMAINED SO UNTIL SHE CONTACTED ANNUITY COMPANY WITH A NEW FINANCIAL ADVISOR ON THE LINE. CLIENT WAS PROVIDED INITIAL FREE-LOOK REQUIRED BY STATE LAW, FOLLOWED BY ADDITIONAL FREE-LOOK PERIOD AND CHOSE NOT TO FREE-LOOK THE POLICY, BUT RATHER TO KEEP THE POLICY. CLAIMS WERE DENIED IN THEIR ENTIRETY.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	ProEquities, Inc.
Termination Type:	Permitted to Resign
Termination Date:	01/19/2017
Allegations:	On the firm's 2016 Annual Compliance Questionnaire, Representative answered "TRUE" to the following questions: (1) I have not shared or paid securities compensation directly to any other person, including other representatives of ProEquities; (2) I do not conduct any securities activities using any unapproved or personal email accounts. This includes, for example, email domains hosted by Yahoo, gmail, Comcast, or AOL; and (3) I do not share office space with any person who is not an Associated Person of ProEquities. Representative's answers to these three questions were incorrect as the firm documented that representative: (1) paid in excess of $200,000 of securities commission to two other representatives in his office from 2014-2016; (2) utilized a yahoo email address to conduct firm securities activities; and (3) shared office space with an individual who was not affiliated with ProEquities in any capacity.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	PROEQUITIES
Termination Type:	Permitted to Resign
Termination Date:	01/19/2017
Allegations:	Representative did not answer multiple questions on the firm's Annual Compliance Questionnaire accurately. The questions related to compensation sharing, sharing office space, and use of unapproved or personal email accounts.
Product Type:	No Product

End of Report

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