

BrokerCheck Report

RIX CARLTON SMITH

CRD# 1061442

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**RIX C. SMITH**

CRD# 1061442

Currently employed by and registered with the following Firm(s):

IA GGO INVESTMENT ADVISORS, INC.
 9000 HIGHWAY 2147 WEST
 SUITE 201
 HORSESHOE BAY, TX 78657
 CRD# 118002
 Registered with this firm since: 01/28/2021

IA DOMINION PORTFOLIO MANAGEMENT, INC.
 1002 Marble Heights Dr.
 Ste 101
 Marble Falls, TX 78654
 CRD# 106918
 Registered with this firm since: 03/06/1996

B CALTON & ASSOCIATES, INC.
 1002 Marble Heights Drive
 Suite 101
 Marble Falls, TX 78654
 CRD# 20999
 Registered with this firm since: 07/02/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

This broker has passed:

- 3 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B DOMINION INVESTOR SERVICES, INC.**
 CRD# 21548
 MARBLE FALLS, TX
 01/1991 - 12/2024
- B T.L. REED SECURITIES, INC.**
 CRD# 19875
 01/1989 - 12/1990
- B UNDERWOOD, NEUHAUS & CO., INCORPORATED**
 CRD# 839
 08/1985 - 01/1989

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 1 |



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **CALTON & ASSOCIATES, INC.**

Main Office Address: **2701 N ROCKY POINT DRIVE
SUITE 1000
TAMPA, FL 33607**

Firm CRD#: **20999**

| | SRO | Category | Status | Date |
|---|-------|-------------------------------------|----------|------------|
| B | FINRA | General Securities Principal | Approved | 07/02/2023 |
| B | FINRA | General Securities Representative | Approved | 07/02/2023 |
| B | FINRA | Municipal Securities Principal | Approved | 07/02/2023 |
| B | FINRA | Municipal Securities Representative | Approved | 07/02/2023 |
| B | FINRA | Operations Professional | Approved | 07/02/2023 |
| B | FINRA | Registered Options Principal | Approved | 07/02/2023 |

| | U.S. State/ Territory | Category | Status | Date |
|---|-----------------------|----------|----------|------------|
| B | California | Agent | Approved | 07/05/2023 |
| B | Michigan | Agent | Approved | 08/14/2023 |
| B | Texas | Agent | Approved | 07/04/2023 |

Branch Office Locations

CALTON & ASSOCIATES, INC.
1002 Marble Heights Drive
Suite 101



Broker Qualifications

Employment 1 of 3, continued

Marble Falls, TX 78654

Employment 2 of 3

Firm Name: **DOMINION PORTFOLIO MANAGEMENT, INC.**

Main Office Address: **1002 MARBLE HEIGHTS DR
SUITE 101
MARBLE FALLS, TX 78654**

Firm CRD#: **106918**

| U.S. State/ Territory | Category | Status | Date |
|-----------------------|-----------------------------------|----------|------------|
| IA Texas | Investment Adviser Representative | Approved | 03/06/1996 |

Branch Office Locations

1002 Marble Heights Dr.
Ste 101
Marble Falls, TX 78654

Employment 3 of 3

Firm Name: **GQO INVESTMENT ADVISORS, INC.**

Main Office Address: **1002 MARBLE HEIGHTS DRIVE
SUITE 101
MARBLE FALLS, TX 78654**

Firm CRD#: **118002**

| U.S. State/ Territory | Category | Status | Date |
|-----------------------|-----------------------------------|----------|------------|
| IA Texas | Investment Adviser Representative | Approved | 01/28/2021 |

Branch Office Locations

Broker Qualifications



Employment 3 of 3, continued

9000 HIGHWAY 2147 WEST
SUITE 201
HORSESHOE BAY, TX 78657



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Registered Options Principal Examination | Series 4 | 04/16/1999 |
| B Municipal Securities Principal Examination | Series 53 | 08/18/1993 |
| B General Securities Principal Examination | Series 24 | 07/02/1992 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-------------|------------|
| B Operations Professional Examination | Series 99TO | 01/02/2023 |
| B Municipal Securities Representative Examination | Series 52TO | 01/02/2023 |
| B Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B General Securities Representative Examination | Series 7 | 08/21/1982 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 09/17/1996 |
| B Uniform Securities Agent State Law Examination | Series 63 | 09/21/1982 |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|----------------------------|---|-------|------------------|
| B 01/1991 - 12/2024 | DOMINION INVESTOR SERVICES, INC. | 21548 | MARBLE FALLS, TX |
| B 01/1989 - 12/1990 | T.L. REED SECURITIES, INC. | 19875 | |
| B 08/1985 - 01/1989 | UNDERWOOD, NEUHAUS & CO., INCORPORATED | 839 | |
| B 10/1982 - 08/1985 | THOMSON MCKINNON SECURITIES INC. | 829 | |
| B 08/1982 - 02/1985 | SCHNEIDER, BERNET & HICKMAN, INC. | 750 | |

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|-------------------------------------|--|--------------------|----------------------------------|
| 08/2023 - Present | DOMINION PORTFOLIO MANAGEMENT, INC. | INVESTMENT ADVISOR REPRESENTATIVE | Y | MARBLE FALLS, TX, United States |
| 07/2023 - Present | Calton & Associates, Inc | Branch Manager / Financial Professional | Y | Marble Falls, TX, United States |
| 01/2021 - Present | GQO INVESTMENT ADVISORS, INC. | INVESTMENT ADVISOR REPRESENTATIVE | Y | HORSESHOE BAY, TX, United States |
| 01/1991 - Present | DOMINION INVESTOR SERVICES, INC. | PRESIDENT & CEO/GENERAL SECURITIES-OPTIONS-MUNICIPAL PRINCIPALS/REGISTERED REPRESENTATIVE/DIRECTOR | Y | SAN ANTONIO, TX, United States |



Registration and Employment History

Employment History, continued

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|-------------------------------------|---------------------|--------------------|---------------------------------|
| 05/1995 - 08/2023 | DOMINION PORTFOLIO MANAGEMENT, INC. | PRESIDENT, DIRECTOR | Y | MARBLE FALLS, TX, United States |

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. PRESIDENT/DIRECTOR OF DOMINION FINANCIAL SERVICES, INC.
2. PRESIDENT OF GQO INVESTMENT ADVISORS, INC.
3. Dominion Investor Services, Inc; CEO; No longer an operating company but still exists as an entity until the appropriate time when the company can be closed, estimating in 2026.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

| | Pending | Final | On Appeal |
|------------------|---------|-------|-----------|
| Regulatory Event | 0 | 1 | 0 |
| Customer Dispute | 0 | 1 | N/A |



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

| | |
|--|--|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| Sanction(s) Sought: | |
| Other Sanction(s) Sought: | |
| Date Initiated: | 12/19/2000 |
| Docket/Case Number: | C05000061 |
| Employing firm when activity occurred which led to the regulatory action: | DOMINION INVESTOR SERVICES, INC. |
| Product Type: | No Product |
| Other Product Type(s): | |
| Allegations: | 01-04-01, NASD RULES 2110 AND 3070(C) - A MEMBER FIRM, ACTING THROUGH SMITH, FAILED TO REPORT TO THE NASD STATISTICAL AND SUMMARY INFORMATION REGARDING CUSTOMER COMPLAINTS. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |
| Resolution Date: | 12/19/2000 |



Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: FINED \$5,000, JOINTLY AND SEVERALLY

03-08-01, %5,000 PAID J&S ON 1/04/01.

Reporting Source: Broker

Regulatory Action Initiated By: NASD REGULATION, INC.

Sanction(s) Sought: Other

Other Sanction(s) Sought: MONETARY FINE OF \$5,000

Date Initiated: 10/09/2000

Docket/Case Number: C05000061

Employing firm when activity occurred which led to the regulatory action: DOMINION INVESTOR SERVICES INC

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO REPORT STATISTICAL AND SUMMARY INFORMATION REGARDING 7 CUSTOMERS COMPLAINTS PURSUANT TO CONDUCT RULE 3070(C).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/19/2000

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: A \$5,000 MONETARY FINE WAS IMPOSED JOINTLY AND SEVERALLY AGAINST THE FIRM AND MYSELF. THE FINE WAS PAID ON 12/30/2000.

Broker Statement NASD REGULATION ACCEPTED AND EXECUTED THE ACCEPTANCE, WAIVER AND CONSENT.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DOMINION INVESTOR SERVICES, INC.

Allegations: CUSTOMER ALLEDGES THAT HIS ORDER TO SELL 2000 SHARES OF A STOCK (JNIC) ON 11/16/99 WAS NOT EXECUTED CAUSING A LOSS OF \$20,000. THE FIRM MAINTAINS THAT IT RECEIVED AND EXECUTED AN ORDER TO SELL 240 SHARES OF JNIC. CUSTOMER ALSO ALLEDES THAT ADDITIONAL SHARES OF JNIC WERE SOLD WITHOUT HIS PERMISSION. SINCE THE CUSTOMER NEVER PROPERLY PAID FOR THE 2000 SHARES, THE CLEARING FIRM TOOK MARKET ACTION AND ORDERED THAT 861 SHARES BE SOLD.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 11/16/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/28/2000

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER'S COMPLAINT IS FALSE. MR. SMITH WAS NOT AND NEVER HAS BEEN CUSTOMER'S REPRESENTATIVE OF RECORD. MR. SMITH HAS NEVER EVEN SPOKEN TO CUSTOMER. MR. SMITH'S ONLY COMMUNICAITON WITH CUSTOMER WAS THE WRITTEN CORRESPONDENCE EXCHANGED RELATIVE TO THIS COMPLIANT. CUSTOMER'S REGISTERED REPRESENTATIVE WAS TONY MILLER. THE CIRCUMSTANCES OF THE COMPLAINT REVOLVED AROUND CUSTOMER'S FAILURE TO PROPERLY PAY FOR THE PURCHASE OF THE SECURITIES IN



QUESTION.

End of Report



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