BrokerCheck Report

JEFFREY TRAVISS KING

CRD# 5753296

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.
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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.

JEFFREY T. KING

CRD# 5753296

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

IA **DOMINION PORTFOLIO MANAGEMENT, INC.**
KANSAS CITY, MO
CRD# 106918
Registered with this firm since: 06/16/2022

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
- 2 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B **DOMINION INVESTOR SERVICES, INC.**
CRD# 21548
KANSAS CITY, MO
09/2018 - 07/2023

IA **DOMINION PORTFOLIO MANAGEMENT, INC.**
CRD# 106918
MARBLE FALLS, TX
06/2019 - 02/2020

IA **COMMUNITYAMERICA FINANCIAL SOLUTIONS, LLC**
CRD# 168203
LENEXA, KS
08/2017 - 09/2018

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
Customer Dispute	2
Termination	2

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 2 U.S. states and territories through his or her employer.

Employment 1 of 2

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 Representative	Approved	07/02/2023

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	07/02/2023
B	Missouri	Agent	Approved	07/03/2023

Branch Office Locations

CALTON & ASSOCIATES, INC.
1002 Marble Heights Drive
Suite 101
Marble Falls, TX 78654

Employment 2 of 2

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

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

Firm CRD#: **106918**

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	06/16/2022

Branch Office Locations

KANSAS CITY, MO

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 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	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/04/2010

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	03/20/2010

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	09/2018 - 07/2023	DOMINION INVESTOR SERVICES, INC.	21548	KANSAS CITY, MO
IA	06/2019 - 02/2020	DOMINION PORTFOLIO MANAGEMENT, INC.	106918	KANSAS CITY, MO
IA	08/2017 - 09/2018	COMMUNITYAMERICA FINANCIAL SOLUTIONS, LLC	168203	Pleasant Valley, MO
B	08/2017 - 09/2018	COMMUNITYAMERICA FINANCIAL SOLUTIONS, LLC	168203	Pleasant Valley, MO
IA	08/2017 - 08/2017	COMMUNITYAMERICA FINANCIAL SOLUTIONS, LLC	168203	Pleasant Valley, MO
IA	03/2010 - 07/2017	EDWARD JONES	250	KANSAS CITY, MO
B	03/2010 - 07/2017	EDWARD JONES	250	KANSAS CITY, MO

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
07/2023 - Present	Calton & Associates, Inc	Financial Professional	Y	Marble Falls, TX, United States
06/2022 - Present	DOMINION PORTFOLIO MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States
09/2018 - 06/2023	DOMINION INVESTOR SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States
08/2017 - 09/2018	CommunityAmerica Financial Solutions, LLC	Financial Advisors	Y	Lenexa, KS, United States
01/2010 - 07/2017	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States

Registration and Employment History

Employment History, continued

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.

No information reported.

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o

4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Customer Dispute	0	2	N/A
Termination	N/A	2	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Edward Jones
Allegations:	Client alleges the May 16, 2017 transfer into the Edward Jones Advisory account was misrepresented .
Product Type:	Other: Managed /Wrap Accounts in house
Alleged Damages:	$23,605.00
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:	06/24/2019
Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2019
Settlement Amount:	$40,818.00
Individual Contribution Amount:	$0.00

Firm Statement	Settled the complaint in the amount of $40,818.00.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES ON MAY 16, 2017 TRANSFER TO EDWARD JONES ADVISORY WAS MISREPRESENTED.
Product Type:	Other: WRAP ACCOUNTS
Alleged Damages:	$23,605.00
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:	06/24/2019
Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2019
Settlement Amount:	$40,818.00
Individual Contribution Amount:	$0.00
Broker Statement	(1)At no point during my career as a financial planner have I misrepresented an investment or type of an account. With this specific complaint, I thoroughly explained the account, multiple times, at their house and gave them ample time to review the documents before agreeing to and signing them and authorizing the transition to the guided solutions platform. It should be noted that Edward Jones was only giving clients two options with the proposed Department of Labor ruling at the time. Either grandfather the account and be extremely limited in future investment options and also not be able to add additional funds or transition to the Guided Solutions platform. I was not in agreement with their policy and did not think the fees were reasonable to clients and I gave the largest discount possible to clients that I could. It is my understanding that most or all of this complaint is in regards to taxes from profits and gains in the account. At no point did I tell them

they would not be taxed on profits. As an Edward Jones financial advisor, we were strictly forbidden from giving tax or legal advise and deferred to or partnered with the client's tax professional. (2)Not only do I stand by my previous statement, but it has been demonstrated by Edward Jones that they will do anything to avoid exposure to their deliberate use of the Department of Labor (DOL) ruling to move assets from low fee producing holdings to much higher fee based accounts. This particular complaint was strictly based on a tax grievance and was denied initially, it was not until the client brought up the DOL ruling that Edward Jones was using to transition assets to fee based accounts that Edward Jones decided to make a settlement offer. The clients' account was a non-IRA account and would not have been subject to the rules of the proposed DOL ruling, thus it would have never been brought up in conversation or rationale for the movement of the investments. Additionally, the client(s) signed all appropriate documentation noting that their account would be moved to an account that was managed in a fee based environment and not on a commission basis. Furthermore, the clients received monthly statements and were well aware of the management of the account, the costs of doing so, and the investments that were in the account. It is my belief that Edward Jones is trying to settle this dispute on my record, to preserve the complaint from being on the advisor that managed this account for the 2 years I was removed from the company.

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: Edward Jones

Allegations: Client alleges the sells of MFS mutual funds during period of October 30, 2012 to January 2014 were unauthorized.

Product Type: Mutual Fund

Alleged Damages: $5,000.00

Alleged Damages Amount Explanation (if amount not exact): The alleged amount is $5000.00 or more.

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: 04/11/2016

Complaint Pending? No

Status: Denied

Status Date: 05/05/2016

Settlement Amount:

Individual Contribution Amount:

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Employer Name:	CommunityAmerica Financial Solutions, LLC
Termination Type:	Discharged
Termination Date:	08/20/2018
Allegations:	Non-compliance with firm policy regarding corporate credit card use.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	COMMUNITYAMERICA FINANCIAL SOLUTIONS, LLC
Termination Type:	Discharged
Termination Date:	08/20/2018
Allegations:	NON-COMPLIANCE WITH FIRM POLICY REGARDING CORPORATE CREDIT CARD USE
Product Type:	No Product
Broker Statement	MY TERMINATION WAS ALLEGEDLY FOR MISUSE OF A CORPORATE CREDIT CARD. THIS IS NOT THE CASE. WHEN THE CARD WAS ISSUED TO ME THERE WAS NO EXPLANATION AND I WAS RESPONSIBLE FOR PAYING FOR ALL PURCHASES. PERSONAL PURCHASES WERE MADE THE ENTIRETY OF MY EMPLOYMENT WITH CACU. IT'S MY BELIEF I WAS TERMINATED FOR OTHER REASONS. I'M CURRENTLY IN THE PROCESS TO LITIGATE THE ABOVE TO HOLD THEM ACCOUNTABLE, CLEAR MY NAME AND RECEIVE COMPENSATION FOR WORK THAT WAS COMPLETED WHILE EMPLOYED.

Disclosure 2 of 2

Reporting Source:	Firm
Employer Name:	Edward Jones
Termination Type:	Discharged
Termination Date:	06/28/2017

Allegations:	Mr. King's employment was terminated for entering misleading information into the firm's business expense reimbursement system.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	Edward Jones
Termination Type:	Discharged
Termination Date:	06/28/2017
Allegations:	Mr. King's employment was terminated for entering misleading information into the firm's business expense reimbursement system.
Product Type:	No Product
Broker Statement	I submitted a reimbursement request that I had to amend. I was unaware that I got paid for both the original and amended requests. The overage was under $150.

End of Report

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