

BrokerCheck Report

NATHANIEL MARTIN BAYS III

CRD# 6778354

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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:
 - o 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
 - o 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.

NATHANIEL M. BAYS III

CRD# 6778354

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
Reston, VA
12/2019 - 10/2024
- B KEYBANC CAPITAL MARKETS INC.**
CRD# 566
NEW YORK, NY
12/2017 - 03/2019
- B CAIN BROTHERS & COMPANY, LLC**
CRD# 13649
NEW YORK, NY
05/2017 - 12/2017

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? **No**

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 broker is not currently registered.



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, 4 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 Municipal Securities Representative Examination	Series 52TO	09/30/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B Municipal Advisor Representative Qualification Exam	Series 50	07/15/2017
B Investment Banking Registered Representative Examination	Series 79	05/22/2017

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/06/2017

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.

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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2019 - 10/2024	CITIGROUP GLOBAL MARKETS INC.	7059	Reston, VA
B 12/2017 - 03/2019	KEYBANC CAPITAL MARKETS INC.	566	NEW YORK, NY
B 05/2017 - 12/2017	CAIN BROTHERS & COMPANY, LLC	13649	NEW YORK, NY

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
12/2019 - Present	Citigroup	Director	Y	Washington, DC, United States
03/2019 - 12/2019	Self-Employed	Founder & President	N	Arlington, VA, United States
12/2017 - 03/2019	KEYBANC CAPITAL MARKETS INC.	Mass Transfer	Y	NEW YORK, NY, United States
03/2017 - 03/2019	Cain Brothers & Company, LLC	Managing Director	Y	New York, NY, United States
02/2011 - 03/2017	The Health Management Academy	General Counsel/Executive Director	N	Alexandria, VA, 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.

The Health Management Academy, Inc. - The Academy Advisors; Health care policy and education; Not investment-related; Arlington, VA; Affiliation started March 2017; Title: Advisor/Health Policy Council; Duties: Occasionally speak at forums hosted by the group, de minimis honorarium; 1 hour is devoted each month during securities trading hours; 1 hour is devoted each month outside securities trading hours. /////
 Reece Terrace LLC (Real estate); Investment-related; Johnson City, TN; Affiliation started 01/01/2005; Title: Manager; Duties: Interface with management company and professional services providers; No time is devoted during securities trading hours; 3 hours are devoted each month

Registration and Employment History



Other Business Activities, continued

outside securities trading hours. ///// NM Property, LLC; Investment-related; Johnson City, TN; Affiliation started 01/01/2015; Title: Manager; Duties: Interface with management company and professional services providers; No time is devoted during securities trading hours; 4 hours are devoted each month outside securities trading hours. ///// LifeForce Capital LLC; Healthcare venture capital; Not investment-related; San Francisco, CA; Affiliation started 03/25/2019; Title: Venture Advisor; Duties: Advise founder; No time is devoted during securities trading hours; 2 hours are devoted each month outside securities trading hours. ///// Unite US, Inc.; SaaS and services for community based organizations; Not investment-related; New York, NY; Affiliation started 04/29/2020; Director; Governance; 2 hours devoted each month during securities trading hours; 3 hours devoted each month outside securities trading hours. ///// Publius, Inc. DBA MyMo; Healthcare technology; Not investment-related; New York, NY; Affiliation started 05/01/2019; Advisor to Senior Management; Spend time with MyMo CEO; No time devoted during securities trading hours; 2 hours are devoted each month outside securities trading hours.///// Transformative Med, Inc; App based communication and workflow; Not investment-related; Seattle, WA; Affiliation started on 07/31/2020; Title: Director; Duties: Quarterly 3 hour board meeting. Communicate with company leadership as otherwise necessary.; 1 hour devoted each month during securities trading hours; 1 hour devoted each month outside securities trading hours.///// Rental House - Nashville, TN; Investment-related; Affiliation started on 9/10/2021; Title: Owner; Duties: None, my wife manages the property; 0 hours devoted each month during and outside securities trading hours.

End of Report



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