

# CARLOS A. DIAS, JR.

## Form ADV Part 2B

DIAS WEALTH, LLC

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This Brochure Supplement provides information about Carlos A. Dias, Jr. that supplements Dias Wealth, LLC's brochure. You should have received a copy of that brochure. Please contact Mr. Dias at (321) 926-0936 if you did not receive Dias Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Carlos A. Dias, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for Mr. Dias is 5315390.

## Item 2 – Educational Background and Business Experience

**Carlos A. Dias, Jr.**

**BORN:** 1983

### **EDUCATION:**

- **University of Florida (Warrington College of Business Administration)** – Bachelor of Business Administration (2015 to Present)
- **The College for Financial Planning** (2013 to 2015)
- **Daytona State College** – Associate of Arts degree in Business Administration (2004)

### **BUSINESS BACKGROUND:**

- **Dias Wealth, LLC** – Managing Member (July 2019 to Present) Investment Adviser Representative (November 2019 to Present)
- **Dias Financial, LLC** – Managing Member/Insurance Agent (July 2019 to Present)
- **Excel Tax & Wealth Group, Inc.** – President/CEO (January 2013 to June 2019)
- **MVP Wealth Management Group, Inc.** – President/CEO (September 2011 to June 2019)
- **Retirement Wealth Advisors** – Investment Adviser Representative (December 2014 to December 2018)
- **NFL Alumni Central Florida Chapter** – Treasurer (December 2016 to April 2018)
- **Regal Investment Advisors** – Investment Adviser Representative (April 2014 to November 2014)
- **Excel Tax Planning, Inc.** – President/CEO (January 2012 to December 2013)
- **Dias & Associates, Inc.** – President/CEO (October 2007 to December 2013)
- **New York Life** – Financial Professional (April 2007 to September 2007)
- **Bankers Life & Casualty** – Financial Professional (May 2005 to March 2007)

### **Item 3 – Disciplinary Information**

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that could be material to your evaluation of each supervised person providing investment advice. Mr. Dias has no information that is applicable to this item.

### **Item 4 – Other Business Activities**

Mr. Dias is a licensed independent insurance agent. He owns Dias Financial, LLC, which is an insurance agency. He is appointed with various insurance companies and may recommend insurance products to you. He devotes approximately 25% of his time to this activity. The sale of insurance products pays Mr. Dias commissions that are separate from the investment adviser fees outlined in Item 5 of the firm's ADV Part 2A. This is a conflict of interest because it creates a financial incentive to recommend insurance products. However, Mr. Dias attempts to mitigate any conflicts of interest to the best of his ability by placing your interests ahead of his own and through the implementation of policies and procedures that address the conflict. Additionally, you are informed that you always have the right to choose whether to act on the recommendation and the right to purchase recommended insurance through any licensed insurance agent.

### **Item 5 – Additional Compensation**

Mr. Dias does not receive any additional compensation or economic benefits.

### **Item 6 – Supervision**

Mr. Dias is Managing Member and Chief Compliance Officer of the firm. As a result, he has no internal supervision placed over him. He is however bound by the firm's Code of Ethics and policies and procedures. Mr. Dias can be reached at (321) 926-0936.

### **Item 7 – Requirements for State-Registered Advisers**

#### ARBITRATION OR CIVIL, SELF-REGULATORY ORGANIZATION OR ADMINISTRATIVE PROCEEDINGS

Mr. Dias has not been the subject of any arbitration, civil, self-regulatory organization or administrative findings.

#### BANKRUPTCY HISTORY

Mr. Dias has not been the subject of a bankruptcy petition.