

# CARLOS A. DIAS JR.

## Form ADV Part 2B

# DIAS WEALTH

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## March 31, 2022

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.

### **Year Born**

1983

### **Education**

- **University of Florida (Warrington College of Business Administration)**  
Bachelor of Business Administration (2015 – 2017)
- **The College for Financial Planning**  
2013 – 2015
- **Ed Slott Elite IRA Group**  
2014 – 2015
- **Daytona State College**  
Associate of Arts degree in Business Administration (2001 – 2004)

### **Business Background**

- **Dias Wealth, LLC**  
President/CEO (July 2019 – Present)  
Investment Adviser Representative (November 2019 – Present)
- **Dias Financial, LLC**  
President/CEO/Insurance Agent (July 2019 – Present)
- **Professional Speaker, Writer, Instructor, and Contributor**  
CarlosDiasJr.com (February 2015 – Present)
- **Excel Tax & Wealth Group, Inc.**  
President/CEO (January 2013 – June 2019)
- **MVP Wealth Management Group, Inc.**  
President/CEO (September 2011 – June 2019)
- **Retirement Wealth Advisors**  
Investment Adviser Representative (December 2014 – December 2018)
- **NFL Alumni Central Florida Chapter**  
Treasurer (December 2016 – April 2018)
- **Darrell Armstrong Foundation for Premature Babies**  
Board Member (March 2015 – August 2016)

- **Regal Investment Advisors**  
Investment Adviser Representative (April 2014 – November 2014)
- **Excel Tax Planning, Inc.**  
President/CEO (January 2012 – December 2013)
- **Dias & Associates, Inc.**  
President/CEO (October 2007 – December 2013)
- **New York Life**  
Financial Professional (April 2007 – September 2007)
- **Bankers Life & Casualty**  
Financial Professional (May 2005 – 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. Carlos Dias Jr. has no information that is applicable to this item.

### Item 4: Other Business Activities

Carlos Dias Jr. is licensed to sell annuities, life, health, disability, long-term care, and health insurance and may recommend the purchase of insurance products to you, for which he will receive additional compensation. He owns Dias Financial, LLC and is appointed with various insurance companies devoting approximately 30% of his time to this activity. Commissions paid are separate from the fees described (see “Item 5” of ADV Part 2A). Carlos Dias Jr. attempts to mitigate any conflicts of interest to the best of his ability by placing your interests ahead of his own and by implementing policies and procedures that address the conflict. Additionally, he will inform you that you always have the right to choose whether to act on the recommendation and to purchase recommended insurance products through any licensed insurance agent.

Additionally, Carlos Dias Jr. is a public speaker devoting approximately 30% of his time to this activity.

### Item 5: Additional Compensation

Carlos Dias Jr. does not receive any additional compensation or economic benefits.

### Item 6: Supervision

Carlos Dias Jr. is Managing Member and Chief Compliance Officer of the firm. As a result, there is no internal supervision. He is however bound by the firm’s Code of Ethics and policies and procedures. Carlos Dias Jr. can be reached at (321) 926-0936 ext.1 or (407) 801-2244.

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

### **Arbitration or Civil, Self-Regulatory Organization or Administrative Proceedings**

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

### **Bankruptcy History**

Carlos Dias Jr. has not been the subject of a bankruptcy petition.