BrokerCheck Report

JOHN CLARENCE WOODS

CRD# 1362326

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.

JOHN C. WOODS

CRD# 1362326

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

IA **LPL FINANCIAL LLC**
2600 US HWY 27
SEBRING, FL 33870
CRD# 6413
Registered with this firm since: 10/07/2020

B **LPL FINANCIAL LLC**
855 21ST STREET
VERO BEACH, FL 32960
CRD# 6413
Registered with this firm since: 09/18/2020

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
- 24 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **NBC SECURITIES, INC.**
CRD# 17870
BIRMINGHAM, AL
11/2014 - 09/2020

B **NBC SECURITIES, INC.**
CRD# 17870
VERO BEACH, FL
11/2014 - 09/2020

IA **USA FINANCIAL SECURITIES CORPORATION**
CRD# 103857
ADA, MI
10/2008 - 11/2014

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

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/18/2020
B	FINRA	General Securities Representative	Approved	09/18/2020

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/14/2022
B	Alaska	Agent	Approved	10/21/2022
B	Arizona	Agent	Approved	10/26/2022
B	Florida	Agent	Approved	10/07/2020
IA	Florida	Investment Adviser Representative	Approved	10/07/2020
B	Georgia	Agent	Approved	10/12/2020
B	Illinois	Agent	Approved	10/26/2022
B	Indiana	Agent	Approved	12/01/2022
B	Kentucky	Agent	Approved	10/14/2022
B	Maryland	Agent	Approved	10/30/2020
B	Massachusetts	Agent	Approved	11/09/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	10/17/2022
B	Montana	Agent	Approved	04/22/2022
B	Nevada	Agent	Approved	05/13/2025
B	New Hampshire	Agent	Approved	10/17/2022
B	New York	Agent	Approved	10/16/2022
B	North Carolina	Agent	Approved	10/14/2022
B	Ohio	Agent	Approved	10/18/2022
B	Pennsylvania	Agent	Approved	10/13/2020
B	South Carolina	Agent	Approved	11/08/2022
B	Tennessee	Agent	Approved	11/18/2024
B	Texas	Agent	Approved	10/14/2022
B	Vermont	Agent	Approved	10/14/2022
B	Virginia	Agent	Approved	11/02/2020
B	Wisconsin	Agent	Approved	10/24/2022

Branch Office Locations

LPL FINANCIAL LLC
855 21ST STREET
VERO BEACH, FL 32960

LPL FINANCIAL LLC
2100 SOUTH PARROT AVENUE
OKEECHOBEE, FL 34974

LPL FINANCIAL LLC
2100 SOUTH PARROT AVENUE

Employment 1 of 1, continued

OKEECHOBEE, FL 34974

LPL FINANCIAL LLC
5001 OKEECHOBEE RD.
FORT PIERCE, FL 34947

LPL FINANCIAL LLC
3240 CARDINAL DRIVE
VERO BEACH, FL 32963

LPL FINANCIAL LLC
2600 US HWY 27
SEBRING, FL 33870

LPL FINANCIAL LLC
7722 SR 544 E
WINTER HAVEN, FL 33881

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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination	Series 51	03/28/2003
B	General Securities Principal Examination	Series 24	04/26/1989

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	04/20/1985

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/08/2007
B	Uniform Securities Agent State Law Examination	Series 63	02/13/2006

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
IA	11/2014 - 09/2020	NBC SECURITIES, INC.	17870	VERO BEACH, FL
B	11/2014 - 09/2020	NBC SECURITIES, INC.	17870	VERO BEACH, FL
IA	10/2008 - 11/2014	USA FINANCIAL SECURITIES CORPORATION	103857	VERO BEACH, FL
B	02/2006 - 11/2014	USA FINANCIAL SECURITIES CORPORATION	103857	VERO BEACH, FL
B	06/2004 - 02/2006	ING FINANCIAL PARTNERS, INC.	2882	WINDSOR, CT
B	01/1998 - 04/2004	FISERV INVESTOR SERVICES, INC.	34637	HOUSTON, TX
B	02/1996 - 02/1998	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN
B	01/1989 - 01/1996	SCHLITT INVESTOR SERVICES, INC.	16071	VERO BEACH, FL
B	05/1985 - 12/1988	MARINA SECURITIES, INC.	14108	

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
09/2020 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	VERO BEACH, FL, United States
11/2014 - Present	SOUTH STATE BANK (Formerly: CENTERSTATE)	REGISTERED REPRESENTATIVE	Y	VERO BEACH, FL, United States
11/2014 - 09/2020	NBC SECURITIES, INC.	FINANCIAL CONSULTANT	Y	VERO BEACH, FL, United States

Registration and Employment History

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. 9/17/2020 - CenterState Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).

2. 3/15/2021 - SouthState Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 09/17/2020 - 160 Hours Per Month During Securities Trading.

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	1	1	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:	Regulator
Employing firm when activities occurred which led to the complaint:	SCHLITT INVESTOR SERVICES, INC.
Allegations:	OMISSION OF FACTS; MISREPRESENTATION; BRCH OF FIDUCIARY DT
Product Type:	
Alleged Damages:	$500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-04858
Date Notice/Process Served:	12/01/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/12/1994
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provided

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	SCHLITT INVESTOR SERVICES, INC.
Allegations:	
Product Type:	
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-04858
Date Notice/Process Served:	12/01/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/12/1994
Monetary Compensation Amount:	$11,327.00
Individual Contribution Amount:	$5,663.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SCHLITT INVESTOR SERVICES, INC.
Allegations:	UNSUITABILITY-ALLEGED DAMAGES OF $60,326.00; CUSTOMERS

PURCHASED A LEASING LIMITED PARNERSHIP FOLLOWING A SEMINAR GIVEN BY WHOLESALER. THEY ALSO PURCHAED SEVERAL MUTUAL FUNDS. THEY SPOKE WITH ANOTHER ADVISOR AND HE ADVISED THEM TO SELL EVERYTHING. WE DID BUT COULD NOT GET FACE VALUE FOR ALL. MY FIRM SETTLED FOR $11,327. I PAID HALF, $5663.50

Product Type:	Mutual Fund(s)
Other Product Type(s):	LIMITED PARTNERSHIP
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	12/01/1993
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/01/1994
Settlement Amount:	$11,327.00
Individual Contribution Amount:	$5,663.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-04858
Date Notice/Process Served:	12/01/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/12/1994
Monetary Compensation Amount:	$11,327.00
Individual Contribution Amount:	$5,663.00
Broker Statement	SETTLEMENT OF $11,327.00 NOT PROVIDED

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES BREACH OF FIDUCIARY DUTY/CONTRACT, FRAUD AND NEGLIGENCE. CLIENT PURCHASED STOCKS, CD'S & MUTUAL FUNDS. DURING STOCK MARKET DECLINE OF 2000-2001 CLIENT LOST MONEY. CLIENT MADE FINAL DECISION TO INVEST.

Product Type: Mutual Fund(s)

Other Product Type(s): CD'S, EQUITIES.

Alleged Damages: $10,000.00

Customer Complaint Information

Date Complaint Received: 03/01/2003

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT WAS IN FULL CONTROL OF HIS INVESTMENTS. HE DECIDED WHERE & HOW MUCH TO INVEST. NOW, SINCE HE LOST MONEY IN 2001-2002 HE IS LOOKING TO RECOVER LOSSED BY BLAMING OTHERS. MARKET BUBBLES ARE NOT FRAUD. THIS CLIENT IS USING THE SYSTEM TO RECOVER MARKET LOSSES. IT IS UNWARRANTED. I WISH I COULD RECOVER MY LOSSES.

End of Report

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