

BrokerCheck Report

EDWARD JAMES WENDOL

CRD# 2392007

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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.

EDWARD J. WENDOL

CRD# 2392007

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

Registration History

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

- B WTS PROPRIETARY TRADING GROUP LLC**
CRD# 148117
NEW YORK, NY
09/2013 - 07/2014
- B STERLING ENTERPRISES GROUP, INC.**
CRD# 44915
ST. PETERSBURG, FL
12/2011 - 08/2012
- B AMERICAN CLASSIC SECURITIES, INC.**
CRD# 25399
PONTE VEDRA, FL
11/2008 - 10/2009

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Equity Trader Exam	Series 55	05/04/2001
B General Securities Representative Examination	Series 7	09/08/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/12/2002
B Uniform Securities Agent State Law Examination	Series 63	09/21/1993

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2013 - 07/2014	WTS PROPRIETARY TRADING GROUP LLC	148117	NEW YORK, NY
B 12/2011 - 08/2012	STERLING ENTERPRISES GROUP, INC.	44915	ST. PETERSBURG, FL
B 11/2008 - 10/2009	AMERICAN CLASSIC SECURITIES, INC.	25399	PONTE VEDRA, FL
B 06/2005 - 11/2006	PEAK SECURITIES CORPORATION	107907	LARGO, FL
B 11/2003 - 12/2003	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	CEDAR RAPIDS, IA
B 06/2002 - 04/2003	QUICK & REILLY, INC.	11217	NEW YORK, NY
B 04/2001 - 06/2002	J.P.R. CAPITAL CORP.	38056	SYOSSET, NY
B 10/1995 - 04/2001	GBI CAPITAL PARTNERS INC.	14623	BETHPAGE, NY
B 10/1993 - 10/1995	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, NY
B 09/1993 - 10/1993	SOUTH RICHMOND SECURITIES, INC.	14913	

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
02/2013 - Present	WTS PROPRIETARY TRADING GROUP, LLC	TRADER	Y	NEW YORK, United States
09/2011 - Present	STERLING ENTERPRISES GROUP, INC.	REGISTERED REPRESENTATIVE	Y	ST. PETERSBURG, FL, United States
10/2009 - Present	TOTAL RETIREMENT SECURITY	AGENT	Y	SPRING HILL, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2009 - Present	TOTAL RETIREMENT SECURITY PLANNING AND MENTORING GROUP LLC	OWNER/PARTNER	N	SPRING HILL, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0



Disclosure Event Details

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.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 07/08/2014

Docket/Case Number: [2013038557301](#)

Employing firm when activity occurred which led to the regulatory action: N/A

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, WENDOL CONSENTED TO THE SANCTION AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO COMPLY WITH FINRA'S REQUEST FOR DOCUMENTS AND INFORMATION, AND TO APPEAR AND PROVIDE ON-THE-RECORD TESTIMONY. THE FINDINGS STATED THAT DURING THE COURSE OF FINRA'S INVESTIGATION INTO WHETHER WENDOL WAS INVOLVED IN UNDISCLOSED OUTSIDE BUSINESS AND UNDISCLOSED PRIVATE SECURITIES TRANSACTIONS, FINRA REQUESTED THAT HE PROVIDE CERTAIN DOCUMENTS AND INFORMATION. WENDOL, THROUGH HIS ATTORNEY, INFORMED FINRA THAT HE WOULD NOT PROVIDE THE REQUESTED DOCUMENTS AND INFORMATION, NOR WOULD HE APPEAR AND PROVIDE ON-THE-RECORD TESTIMONY IN THE FUTURE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

07/08/2014

Sanctions Ordered:

Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration:

Start Date: 07/08/2014

End Date:



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/08/2014
Docket/Case Number:	2013038557301
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, WENDOL CONSENTED TO THE SANCTION AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO COMPLY WITH FINRA'S REQUEST FOR DOCUMENTS AND INFORMATION, AND TO APPEAR AND PROVIDE ON-THE-RECORD TESTIMONY. THE FINDINGS STATED THAT DURING THE COURSE OF FINRA'S INVESTIGATION INTO WHETHER WENDOL WAS INVOLVED IN UNDISCLOSED OUTSIDE BUSINESS AND UNDISCLOSED PRIVATE SECURITIES TRANSACTIONS, FINRA REQUESTED THAT HE PROVIDE CERTAIN DOCUMENTS AND INFORMATION. WENDOL, THROUGH HIS ATTORNEY, INFORMED FINRA THAT HE WOULD NOT PROVIDE THE REQUESTED DOCUMENTS AND INFORMATION, NOR WOULD HE APPEAR AND PROVIDE ON-THE-RECORD TESTIMONY IN THE FUTURE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/08/2014
Sanctions Ordered:	Bar (Permanent)
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)



Capacities Affected: ALL CAPACITIES

Duration:

Start Date: 07/08/2014

End Date:

End of Report



This page is intentionally left blank.