BrokerCheck Report

RICHARD JANKUS JR

CRD# 2534528

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.

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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:

- 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):

B **WOODSTOCK FINANCIAL GROUP, INC.**
CRD# 38095
Palm Beach Gardens, FL
11/1999 - 12/2019

B **FAIRCHILD FINANCIAL GROUP, INC.**
CRD# 21404
NEW YORK, NY
08/1998 - 11/1999

B **IAR SECURITIES CORP.**
CRD# 5155
NEW YORK, NY
08/1997 - 08/1998

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	3

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination	Series 4	10/20/2003
B	General Securities Principal Examination	Series 24	01/30/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	11/08/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	08/18/2008
B	Uniform Securities Agent State Law Examination	Series 63	12/01/1994

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
B	11/1999 - 12/2019	WOODSTOCK FINANCIAL GROUP, INC.	38095	Palm Beach Gardens, FL
B	08/1998 - 11/1999	FAIRCHILD FINANCIAL GROUP, INC.	21404	NEW YORK, NY
B	08/1997 - 08/1998	IAR SECURITIES CORP.	5155	NEW YORK, NY
B	08/1995 - 05/1997	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ
B	01/1995 - 10/1995	SOVEREIGN EQUITY MANAGEMENT CORP.	20016	DEERFIELD BEACH, FL
B	11/1994 - 01/1995	STRATTON OAKMONT INC.	18692	LAKE SUCCESS, 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
06/2018 - Present	Woodstock Wealth Management, Inc.	IAR	Y	Palm Beach Gardens, FL, United States
11/1999 - 12/2019	Woodstock Financial Group, Inc.	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDENS, FL, 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.

1.Winston Cooper, Inc.; Investment Related; Palm Beach Gardens, FL 33418; Non-Securities related insurance agency; President, CEO; started 05/25/2004; devotes approximately 2 hours a month which are not during trading hours; duties include President and CEO of Winston Cooper, Inc. - Insurance Agency writing non-securities related insurance. 2.Richard Jankus, personally; non-investment related; Palm Beach Gardens, FL 33418; Entertainment Management for daughters and myself; Manager; started 03/19/2012; devotes approximately 5 hours a month which 2 may be during trading hours; duties include going to casting calls and bookings for print and television commercials and acting. 3.Douglas Elliman Real Estate; non-investment related; 444 East Palmetto Park Road, Boca Raton, FL 33432; Buying and Selling Real Estate for the public; Realtor

Registration and Employment History

Other Business Activities, continued

Associate; started 11/07/2016; devotes approximately 1 hours a month which 0 may be during trading hours; duties include buying and selling real estate for the public. 4. Xcel Mentoring Network, Inc.; 700 S Rosemary Square, Suite 204, West Palm Beach, Florida 33401; mentoring group; Secretary; started 1-8-2024; devotes approximately 2 hour a month of which none are during trading hours' duties include keeping corporate book of minutes and other duties.

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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
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4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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	0	3	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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	INVESTORS ASSOCIATES
Allegations:	UNAUTHORIZED TRADING
Product Type:	
Alleged Damages:	$33,108.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #98-03133
Date Notice/Process Served:	09/14/1998
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	03/12/1999
Disposition Detail:	AWARD AGAINST PARTY ** RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANT $10,000.00 PLUS INTEREST AT THE RATE OF 10% PER ANNUM FROM 3/6/97 UNTIL THE DATE THE AWARD IS PAID IN FULL. ALL OTHER RELIEF REQUESTS ARE DENIED **

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS ASSOCIATES
Allegations:	CLAIMANT ALLEGES UNAUTHORIZED TRADING RELEVANT OT ACTIVITY THAT OCCURRED DURING APPLICANTS EMPLOYMENT WITH INVESTORS ASSOCIATES RESULTING IN DAMAGES OF APPROXIMATELY $33,108.00
Product Type:	Other
Alleged Damages:	$33,108.00

Customer Complaint Information

Date Complaint Received:	03/12/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/12/1999
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 98-03133
Date Notice/Process Served:	09/14/1998
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/12/1999
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	
Broker Statement	CLAIMANT WAS AWARDED THE AMOUNT OF $10,000.00. ALL OTHER RELIEF REQUEST WERE DENIED IN FULL

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:	Broker
Employing firm when activities occurred which led to the complaint:	IAR SECURITIES
Allegations:	CLAIMANTS ALLEGE MISREPRESENTATION, HIGH PRESSURE SALES TATICS, UNSUITABLE RECOMMENDATIONS & BREACH OF FIDUCIARY DUTY RELEVANT TO ACTIVITY THAT OCCURRED DURING APPLICANTS EMPLOYMENT WITH IAR SECURITIES RESULTING IN DAMAGES OF APPROXIMATELY $17,000.00
Product Type:	Other
Alleged Damages:	$17,000.00

Customer Complaint Information

Date Complaint Received:	06/11/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/02/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 98-03420
Date Notice/Process Served:	09/02/1998
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/27/1999
Monetary Compensation Amount:	$6,000.00

Individual Contribution Amount:	$0.00
Broker Statement	THE ARBITRATION WAS SETTLED OUT OF ARBITRATION BETWEEN THE CLAIMANT AND IAR SECURITIES, ALL CLAIMS WERE WITHDRAWN AGAINST APPLICANT PRIOR TO SETTLEMENT. PURSUANT TO THE AFOREMENTIONED INFORMATION, THIS INCIDENT IS NO LONGER REPORTABLE ON THE APPLICANT'S FORM CRD RECORD

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WOODSTOCK FINANCIAL GROUP
Allegations:	THE CLIENT CLAIMS THE REPRESENTATIVE DID NOT FOLLOW HIS INSTRUCTIONS TO CLOSE HIS ACCOUNT WHICH IN TURN CAUSED HIM TO SUFFER LOSSES IN THE ACCOUNT.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$89,327.55
Alleged Damages Amount Explanation (if amount not exact):	THE CLIENT DID NOT SPECIFY THE EXACT AMOUNT OF DAMAGES. THE AMOUNT WE LISTED IS THE AMOUNT OF THE LOSS FROM 09/01/2008 UNTIL TODAY.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/17/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/07/2010
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

End of Report

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