

BrokerCheck Report

SCOTT DARREN FESSLER

CRD# 2689471

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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:
 - 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.

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.

SCOTT D. FESSLER

CRD# 2689471

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 ST. BERNARD FINANCIAL SERVICES, INC.**
CRD# 36956
RUSSELLVILLE, AR
06/2020 - 12/2021
- B WOODSTOCK FINANCIAL GROUP, INC.**
CRD# 38095
HEWLETT, NY
05/2001 - 12/2019
- B NATIONAL SECURITIES CORPORATION**
CRD# 7569
BOCA RATON, FL
12/1999 - 05/2001

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
Regulatory Event	1
Termination	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) 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 General Securities Principal Examination	Series 24	04/01/2002
B Registered Options Principal Examination	Series 4	01/29/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/21/1995

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/15/2002
B Uniform Securities Agent State Law Examination	Series 63	12/28/1995

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2020 - 12/2021	ST. BERNARD FINANCIAL SERVICES, INC.	36956	RUSSELLVILLE, AR
B 05/2001 - 12/2019	WOODSTOCK FINANCIAL GROUP, INC.	38095	HEWLETT, NY
B 12/1999 - 05/2001	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
B 08/1999 - 12/1999	FIRST LIBERTY INVESTMENT GROUP, INC.	3536	PHILADELPHIA, PA
B 10/1997 - 08/1999	CARNEGIE INVESTOR SERVICES INC.	8295	NEW YORK, NY
B 04/1996 - 12/1997	MEYERS POLLOCK ROBBINS, INC.	13436	NEW YORK, NY
B 02/1996 - 04/1996	ROYCE INVESTMENT GROUP, INC.	10494	WOODBURY, 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
08/2018 - Present	Woodstock Wealth Management	Investment Advisor Representative	Y	Atlanta, GA, United States
06/2020 - 12/2021	St Bernard Financial Services, Inc.	Registered Representative	Y	Russellville, AR, United States
05/2001 - 12/2019	Woodstock Financial Group, Inc.	REGISTERED REPRESENTATIVE	Y	FAR ROCKAWAY, NY, 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. FESSLER FINANCIAL, Inc.; INVESTMENT RELATED; 97 MAIN STREET, EAST ROCKAWAY, NY 11518; DBA for relationship with Woodstock Wealth Management, Inc. , Buy and Sell Real Estate and Private Short Term Real Estate Financing; OWNER; STARTED 06/2004; DEVOTES

Registration and Employment History



Other Business Activities, continued

APPROXIMATE 5-10 HOURS A MONTH of WHICH 2 ARE DURING TRADING HOURS; operate branch office for Woodstock Wealth Management, Inc., Buy and Sell Real Estate and Private Short Term Real Estate Financing

2.LIGHTNING FUNDING INC (S-CORP); NOT INVESTMENT RELATED; 97 Main Street, East Rockaway, NY 11518; Mortgage LOAN ORIGINATION; OWNER; STARTED 03/2003; DEVOTES APPROXIMATE 20 HOURS A MONTH WHICH 1 TO 2 ARE DURING TRADING HOURS; DUTIES INCLUDE Mortgage LOAN ORIGINATING

3.ALGREN ASSOCIATES; INVESTMENT RELATED; 450 LEXINGTON AVE, 4TH FLOOR, NEW YORK, NY 10017; Life Insurance; BROKER; STARTED 02/2004; DEVOTES APPROXIMATE 3 TO 5 HOURS A MONTH WHICH NONE ARE DURING TRADING HOURS; TAKE LIFE INSURANCE APPLICATIONS

4.Dennis Miller Insurance 60 West Park Ave, Long Beach, NY 11561; Sell P&C Insurance; Independent Contractor; Started 4/2020; Devotes approximately 5 hours a month which none are during trading hours; sell P&C insurance

5. Second Solar Sunrise; Not Investment Related; 7620 Rivers Ave, Suite 370-337, North Charleston, SC 29406; Energy Adviser; Stared 12/2022; DEVOTES APPROXIMATE 2 HOURS A MONTH WHICH NONE ARE DURING TRADING HOURS; Offers Solar Energy Solutions

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.
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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
Regulatory Event	0	1	0
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Restitution
Date Initiated:	05/02/2001
Docket/Case Number:	C10010055
Employing firm when activity occurred which led to the regulatory action:	MEYERS, POLLOCK, ROBBINS, INC.
Product Type:	Equity-OTC
Allegations:	05-07-01, NASD RULE 2110, IM-2310-2(B)(4)(III) - RESPONDENT SOLD SHARES OF STOCK FROM THE ACCOUNT OF A PUBLIC CUSTOMER, WITHOUT THE CUSTOMER'S KNOWLEDGE AND CONSENT, AND USED THE PROCEEDS TO PURCHASE OTHER SHARES OF STOCK, WITHOUT THE CUSTOMER'S KNOWLEDGE AND CONSENT.
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:

05/02/2001

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Suspension

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:	Suspension
Capacities Affected:	All Capacities
Duration:	15 days
Start Date:	06/04/2001
End Date:	06/18/2001

**Monetary Sanction 1 of 2****Monetary Related Sanction:** Restitution**Total Amount:** \$5,117.91**Portion Levied against individual:** \$5,117.91**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 2****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

5-07-01, FINED \$7,500, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 15 DAYS, AND ORDERED TO PAY \$5,117.91 IN RESTITUTION TO A PUBLIC CUSTOMER. SATISFACTORY PROOF OF PAYMENT OF THE RESTITUTION OR DOCUMENTED EFFORTS UNDERTAKEN TO EFFECT RESTITUTION SHALL BE PROVIDED TO THE NASDR NO LATER THAN 120 DAYS AFTER ACCEPTANCE OF THIS AWC. IF A PUBLIC CUSTOMER CANNOT BE LOCATED, ANY UNDISTRIBUTED RESTITUTION AND INTEREST SHALL BE FOREWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER IS LAST KNOWN TO HAVE RESIDED. SUSPENSION EFFECTIVE JUNE 4, 2001 TO CLOSE OF BUSINESS JUNE 18, 2001.



Reporting Source:	Broker
Regulatory Action Initiated By:	NASD REGULATION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE, RESTITUTION
Date Initiated:	01/24/2000
Docket/Case Number:	C10010055
Employing firm when activity occurred which led to the regulatory action:	MEYERS, POLLOCK, ROBBINS, INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IN JULY OF 1997, MR. FESSLER SOLD SHARES OF TWO DIFFERENT STOCKS FROM A CLIENT'S ACCOUNT ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT. SUBSEQUENTLY, MR. FESSLER BOUGHT SHARES OF TWO DIFFERENT STOCKS, ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/02/2001
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINE OF \$7500. SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER FOR 15 DAYS, BEGINNING 6/4/01 THROUGH 6/18/01. RESTITUTION TO CUSTOMER IN THE AMOUNT OF \$5117.91.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Broker

Employer Name: NATIONAL SECURITIES

Termination Type: Permitted to Resign

Termination Date: 06/01/2000

Allegations: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IN JULY OF 1997, MR. FESSLER SOLD SHARES OF TWO DIFFERENT STOCKS FROM A CLIENT'S ACCOUNT ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT. SUBSEQUENTLY, MR. FESSLER BOUGHT SHARES OF TWO DIFFERENT STOCKS, ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT.

Product Type: Equity - OTC

Other Product Types:

Broker Statement I ACKNOWLEDGE I WAS THE SUBJECT OF A REGULATORY INVESTIGATION WHICH RESULTED IN THE ACCEPTANCE OF AN AWC. THE UNDERLYING FACTS CONCERNING THE INVESTIGATION WERE FULLY DISCLOSED TO MY PRIOR EMPLOYERS AND TO NATIONAL SECURITIES, ON THE FORM U-4 PREPARED BY MY PRIOR EMPLOYERS, INCLUDING THE FIRM WHICH RECEIVED THE LETTER OF COMPLAINT FROM THE CUSTOMER, MY EMPLOYERS DID NOT DISCLOSE THAT COMPLAINT. BASED ON THE COMMUNICATIONS I RECEIVED FROM MY PRIOR EMPLOYERS AND MY OWN MISUNDERSTANDING OF THE FORM U-4, I SIGNED THE U-4. THE ONLY INFORMATION THAT I DID NOT DISCLOSE TO NATIONAL SECURITIES, ON THE ADVICE OF MY COUNSEL, WAS THE SPECIFIC TERMS OF THE AWC WHICH, AT THE TIME, WERE NOT FINAL AND WERE STILL BEING NEGOTIATED WITH THE NASD. ALSO, I RESIGNED BEFORE I WAS ASKED TO RESIGN.

End of Report



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