

## BrokerCheck Report

**ERIC ALLEN WOOD**

CRD# 3079104

| <u>Section Title</u>                | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary                      | 1              |
| Broker Qualifications               | 2 - 6          |
| Registration and Employment History | 8              |
| Disclosure Events                   | 9              |



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**ERIC A. WOOD**

CRD# 3079104

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

**IA HUNTLEIGH ADVISORS, INC.**  
 7800 FORSYTH BLVD.  
 5TH FLOOR  
 ST. LOUIS, MO 63105  
 CRD# 113412  
 Registered with this firm since: 09/25/2009

**B HUNTLEIGH SECURITIES CORPORATION**  
 7800 FORSYTH BLVD.  
 5TH FLOOR  
 ST. LOUIS, MO 63105  
 CRD# 7456  
 Registered with this firm since: 09/25/2009

**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
- 33 U.S. states and territories

**This broker has passed:**

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

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

- IA DATATEX INVESTMENT SERVICES INC**  
 CRD# 105440  
 CLAYTON, MO  
 03/2010 - 03/2023
- B K. W. CHAMBERS & CO.**  
 CRD# 1432  
 CLAYTON, MO  
 03/2010 - 12/2021
- IA AXA ADVISORS, LLC**  
 CRD# 6627  
 NEW YORK, NY  
 08/2002 - 10/2009

**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 | 4     |
| Criminal         | 1     |
| Customer Dispute | 1     |



## 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 33 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**

Main Office Address: **7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105**

Firm CRD#: **113412**

|    | U.S. State/ Territory | Category                          | Status              | Date       |
|----|-----------------------|-----------------------------------|---------------------|------------|
| IA | Alabama               | Investment Adviser Representative | Approved            | 04/17/2025 |
| IA | Arizona               | Investment Adviser Representative | Approved            | 06/17/2020 |
| IA | Arkansas              | Investment Adviser Representative | Approved            | 03/13/2025 |
| IA | Colorado              | Investment Adviser Representative | Approved            | 05/25/2022 |
| IA | Florida               | Investment Adviser Representative | Approved            | 11/17/2020 |
| IA | Massachusetts         | Investment Adviser Representative | Approved            | 07/24/2019 |
| IA | Michigan              | Investment Adviser Representative | Approved            | 04/18/2024 |
| IA | Missouri              | Investment Adviser Representative | Approved            | 09/25/2009 |
| IA | Pennsylvania          | Investment Adviser Representative | Approved            | 04/25/2019 |
| IA | South Carolina        | Investment Adviser Representative | Approved            | 05/09/2023 |
| IA | Texas                 | Investment Adviser Representative | Restricted Approval | 04/25/2019 |
| IA | Washington            | Investment Adviser Representative | Approved            | 01/11/2024 |
| IA | West Virginia         | Investment Adviser Representative | Approved            | 03/10/2023 |
| IA | Wisconsin             | Investment Adviser Representative | Approved            | 05/30/2023 |



## Broker Qualifications

### Employment 1 of 2, continued

#### Branch Office Locations

7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105

### Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**

Main Office Address: **7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105**

Firm CRD#: **7456**

|          | <b>SRO</b> | <b>Category</b>                   | <b>Status</b> | <b>Date</b> |
|----------|------------|-----------------------------------|---------------|-------------|
| <b>B</b> | FINRA      | General Securities Representative | Approved      | 09/25/2009  |
| <b>B</b> | FINRA      | Invest. Co and Variable Contracts | Approved      | 09/25/2009  |

|          | <b>U.S. State/ Territory</b> | <b>Category</b> | <b>Status</b> | <b>Date</b> |
|----------|------------------------------|-----------------|---------------|-------------|
| <b>B</b> | Alabama                      | Agent           | Approved      | 10/20/2010  |
| <b>B</b> | Arizona                      | Agent           | Approved      | 09/25/2009  |
| <b>B</b> | Arkansas                     | Agent           | Approved      | 01/14/2011  |
| <b>B</b> | California                   | Agent           | Approved      | 08/03/2010  |
| <b>B</b> | Colorado                     | Agent           | Approved      | 09/25/2009  |
| <b>B</b> | District of Columbia         | Agent           | Approved      | 02/03/2015  |
| <b>B</b> | Florida                      | Agent           | Approved      | 09/23/2010  |
| <b>B</b> | Georgia                      | Agent           | Approved      | 02/19/2010  |
| <b>B</b> | Illinois                     | Agent           | Approved      | 09/25/2009  |

## Broker Qualifications



### Employment 2 of 2, continued

|   | U.S. State/ Territory | Category | Status   | Date       |
|---|-----------------------|----------|----------|------------|
| B | Indiana               | Agent    | Approved | 09/25/2009 |
| B | Iowa                  | Agent    | Approved | 07/21/2015 |
| B | Kansas                | Agent    | Approved | 01/13/2011 |
| B | Louisiana             | Agent    | Approved | 08/20/2010 |
| B | Maryland              | Agent    | Approved | 12/03/2021 |
| B | Massachusetts         | Agent    | Approved | 02/27/2019 |
| B | Michigan              | Agent    | Approved | 10/26/2023 |
| B | Mississippi           | Agent    | Approved | 02/13/2015 |
| B | Missouri              | Agent    | Approved | 09/25/2009 |
| B | Nebraska              | Agent    | Approved | 03/06/2023 |
| B | Nevada                | Agent    | Approved | 06/13/2023 |
| B | New Jersey            | Agent    | Approved | 11/10/2011 |
| B | New Mexico            | Agent    | Approved | 06/04/2021 |
| B | New York              | Agent    | Approved | 08/18/2016 |
| B | North Carolina        | Agent    | Approved | 03/13/2015 |
| B | Oklahoma              | Agent    | Approved | 03/09/2012 |
| B | Oregon                | Agent    | Approved | 05/27/2011 |
| B | Pennsylvania          | Agent    | Approved | 02/19/2010 |
| B | South Carolina        | Agent    | Approved | 03/02/2015 |
| B | Tennessee             | Agent    | Approved | 03/19/2018 |
| B | Texas                 | Agent    | Approved | 09/25/2009 |



Broker Qualifications

Employment 2 of 2, continued

|   | U.S. State/ Territory | Category | Status   | Date       |
|---|-----------------------|----------|----------|------------|
| B | Washington            | Agent    | Approved | 09/17/2019 |
| B | West Virginia         | Agent    | Approved | 11/29/2021 |
| B | Wisconsin             | Agent    | Approved | 06/18/2025 |

Branch Office Locations

HUNTLEIGH SECURITIES CORPORATION  
7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105

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## 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, 3 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>B</b> Investment Company Products/Variable Contracts Representative Examination | Series 6TO | 01/02/2023 |
| <b>B</b> Securities Industry Essentials Examination                                | SIE        | 10/01/2018 |
| <b>B</b> General Securities Representative Examination                             | Series 7   | 11/08/2000 |

### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 07/23/2001 |
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 08/12/1999 |

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/](http://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>IA</b> 03/2010 - 03/2023 | DATATEX INVESTMENT SERVICES INC   | 105440 | CLAYTON, MO     |
| <b>B</b> 03/2010 - 12/2021  | K. W. CHAMBERS & CO.              | 1432   | CLAYTON, MO     |
| <b>IA</b> 08/2002 - 10/2009 | AXA ADVISORS, LLC                 | 6627   | CLAYTON, MO     |
| <b>B</b> 04/2002 - 10/2009  | AXA ADVISORS, LLC                 | 6627   | CLAYTON, MO     |
| <b>B</b> 01/2002 - 04/2002  | MANULIFE FINANCIAL SECURITIES LLC | 5249   | BOSTON, MA      |
| <b>B</b> 02/2001 - 01/2002  | MANULIFE WOOD LOGAN, INC.         | 19177  | STAMFORD, CT    |

### 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            |
|-------------------|----------------------------------|-------------------|--------------------|------------------------------|
| 09/2009 - Present | HUNTLEIGH SECURITIES CORPORATION | FINANCIAL ADVISOR | Y                  | ST. LOUIS, MO, 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) OUTSIDE INSURANCE BUSINESS, INCLUDING LIFE INSURANCE AND FIXED ANNUITIES SOLD THROUGH K.W. CHAMBERS & CO., ST. LOUIS, MO; NOT SECURITIES-RELATED; TIME: 2-5 HOURS PER MONTH
- 2) DOMUS SOLIS, ISLE OF CAPRI, FL; REAL ESTATE; NOT SECURITIES-RELATED; PART OWNER; TIME 12-15 HOURS PER YEAR; 3) WOOD FINANCIAL PARTNERS - DBA UNDER WHICH THE RR CONDUCTS BUSINESS

## 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.
  -
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       | 4     | 0         |
| Criminal         | 0       | 1     | 0         |
| Customer Dispute | 1       | 0     | 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 4

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Broker  |
| <b>Regulatory Action Initiated By:</b>   | Louisiana Department of Insurance   |
| <b>Sanction(s) Sought:</b>   | Civil and Administrative Penalty(ies)/Fine(s)   |
| <b>Date Initiated:</b>   | 08/17/2022  |
| <b>Docket/Case Number:</b>   | License # 791055  |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | Huntleigh Securities Corporation  |
| <b>Product Type:</b>   | Insurance   |
| <b>Allegations:</b>  | Failure to timely report and disclose an administrative action from another state.<br>The action which was not reported occurred in September 2020, and was reported in August of 2022. |
| <b>Current Status:</b>   | Final   |
| <b>Resolution:</b>   | Order   |



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

**Resolution Date:** 09/13/2022

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$250.00

**Portion Levied against individual:** \$250.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/13/2022

**Was any portion of penalty waived?** No

**Amount Waived:**

#### Disclosure 2 of 4

**Reporting Source:** Broker

**Regulatory Action Initiated By:** New York State Department of Financial Services

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 09/28/2020

**Docket/Case Number:** Stipulation No. 2020-0295-S

**Employing firm when activity occurred which led to the regulatory action:** Huntleigh Securities Corporation

**Product Type:** Insurance



|   |  |
|---|--|
| <b>Allegations:</b>   | Providing materially incorrect information on application for insurance license with the State of New York, by failing to disclose previous disclosure items on his record.  |
| <b>Current Status:</b>  | Final  |
| <b>Resolution:</b>  | Stipulation and Consent  |
| <b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b> | Yes  |
| <b>Resolution Date:</b>   | 10/23/2020   |
| <b>Sanctions Ordered:</b>   | Civil and Administrative Penalty(ies)/Fine(s)  |
| <b>Monetary Sanction 1 of 1</b>   |  |
| <b>Monetary Related Sanction:</b>   | Civil and Administrative Penalty(ies)/Fine(s)  |
| <b>Total Amount:</b>  | \$2,250.00   |
| <b>Portion Levied against individual:</b>   | \$2,250.00   |
| <b>Payment Plan:</b>  |  |
| <b>Is Payment Plan Current:</b>   | Yes  |
| <b>Date Paid by individual:</b>   | 09/28/2020   |
| <b>Was any portion of penalty waived?</b>   | No   |
| <b>Amount Waived:</b>   |  |
| <b>Broker Statement</b>   | Mr. Wood agreed to a stipulation with the State of New York Department of Financial Services, whereby he paid a \$2,250 fine for failing to report a 1997 misdemeanor conviction, and California and Georgia insurance department actions on his application for a New York insurance license. He made this application on his own and was under the mistaken impression that documents/events previously uploaded into the NIPR system were linked to his producer number, and automatically disclosed to New York. Because the events in question are so dated, he thought that he only needed to provide information on any disclosure events that would have occurred since the last NIPR system update. |



#### Disclosure 3 of 4

|   |   |
|---|---|
| <b>Reporting Source:</b>  | Broker  |
| <b>Regulatory Action Initiated By:</b>  | STATE OF CALIFORNIA - DEPARTMENT OF INSURANCE   |
| <b>Sanction(s) Sought:</b>  | Denial<br>Other: RESTRICTED LICENSE   |
| <b>Date Initiated:</b>  | 01/09/2002  |
| <b>Docket/Case Number:</b>  | FILE NO. LBB 0222-AP (AR)   |
| <b>Employing firm when activity occurred which led to the regulatory action:</b>  | MANULIFE FINANCIAL SECURITIES, LLC  |
| <b>Product Type:</b>  | Insurance   |
| <b>Allegations:</b>   | STATE OF CALIFORNIA ISSUED RR A RESTRICTED INSURANCE LICENSE DUE TO A CONVICTION UPON GUILTY PLEA OF A MISDEMEANOR IN 1997. |
| <b>Current Status:</b>  | Final   |
| <b>Resolution:</b>  | Order   |
| <b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b> | Yes   |
| <b>Resolution Date:</b>   | 02/04/2002  |
| <b>Sanctions Ordered:</b>   | Denial<br>Other: DENIAL OF AN UNRESTRICTED LICENSE. A RESTRICTED LICENSE WAS ISSUED.  |

#### Disclosure 4 of 4

|  |   |
|--|---|
| <b>Reporting Source:</b>               | Broker  |
| <b>Regulatory Action Initiated By:</b> | OFFICE OF COMMISSIONER OF INSURANCE - STATE OF GEORGIA                |
| <b>Sanction(s) Sought:</b>             | Civil and Administrative Penalty(ies)/Fine(s)<br>Other: CONSENT ORDER |



|   |  |
|---|--|
| <b>Date Initiated:</b>  | 11/04/2005   |
| <b>Docket/Case Number:</b>  | 2005-1129  |
| <b>Employing firm when activity occurred which led to the regulatory action:</b>  | AXA ADVISORS, LLC.   |
| <b>Product Type:</b>  | Insurance  |
| <b>Allegations:</b>   | THE STATE OF GEORGIA REFUSED THE AGENT'S APPLICATION FOR A LICENSE TO TRANSACT BUSINESS DUE TO (1) PRIOR DISCIPLINARY ACTION TAKEN AGAINST THE AGENT BY THE CALIFORNIA DEPARTMENT OF INSURANCE (2) THE AGENT HAVING BEEN CONVICTED OF A CRIME AND (3) MISREPRESENTATION OF A MATERIAL FACT ON AN APPLICATION/FORM FOR A LICENSE WITH THE STATE OF GEORGIA. |
| <b>Current Status:</b>  | Final  |
| <b>Resolution:</b>  | Consent  |
| <b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b> | No   |
| <b>Resolution Date:</b>   | 11/16/2005   |
| <b>Sanctions Ordered:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Other: CONSENT ORDER AND \$300 FINE   |
| <b>Monetary Sanction 1 of 1</b>   |  |
| <b>Monetary Related Sanction:</b>   | Civil and Administrative Penalty(ies)/Fine(s)  |
| <b>Total Amount:</b>  | \$300.00   |
| <b>Portion Levied against individual:</b>   | \$300.00   |
| <b>Payment Plan:</b>  |  |
| <b>Is Payment Plan Current:</b>   |  |
| <b>Date Paid by individual:</b>   | 11/16/2005   |
| <b>Was any portion of penalty waived?</b>   | No   |





**Amount Waived:**

**Broker Statement**

RR WAS ISSUED A RESTRICTED INSURANCE LICENSE IN CALIFORNIA DUE TO A 1997 MISDEMEANOR. RR DID NOT REALIZE THAT THE RESTRICTED LICENSE WAS AN OFFICIAL ORDER & DID NOT REPORT THE RESTRICTION TO GEORGIA. GA CONSIDERED THIS AN OMISSION. UPON AGREEMENT TO THE CONSENT ORDER AND PAYMENT OF THE FINE, GEORGIA DID ISSUE AN INSURANCE LICENSE TO THE RR.



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

|                             |  |
|-----------------------------|--|
| <b>Reporting Source:</b>    | Broker   |
| <b>Court Details:</b>       | CIRCUIT COURT OF ST LOUIS COUNTY<br>93045063   |
| <b>Charge Date:</b>         | 03/29/1997   |
| <b>Charge Details:</b>      | COUNTS 1 & 2 RECEIVING STOLEN PROPERTY A<br>CLASS A MISDEMEANOR COMMITTED ON MARCH 29, 1997  |
| <b>Felony?</b>              | No   |
| <b>Current Status:</b>      | Final  |
| <b>Status Date:</b>         | 06/12/1997   |
| <b>Disposition Details:</b> | 2 COUNTS OF MISDEMEANOR RECEIVING STOLEN<br>PROPERTY, 40 HRS COMMUNITY SERVICE, 2 YEARS PROBATION, \$10 PD<br>TO THE STATE   |
| <b>Broker Statement</b>     | I WAS AT A PARTY MY FRESHMAN YR IN COLLEGE. MY<br>FRIENDS UNKNOWN TO ME, STOLE 2 MAIL BOXES. I FOUND OUT WHEN I<br>HEARD THE MAIL BOXES HIT MY TRUCK BED. I TOLD MY FRIENDS TO<br>GET THEM OUT, THEY SAID SOMEONE SAW THEM. I PANICKED AND SPED<br>AWAY, LATER RUNNING MY TRUCK OFF THE ROAD. I WAS LATER<br>ARRESTED FOR RECEIVING STOLEN PROPERTY. |



## 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

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Broker  |
| <b>Employing firm when activities occurred which led to the complaint:</b> | HUNTLEIGH SECURITIES CORPORATION  |
| <b>Allegations:</b>  | Clients emailed a complaint related to the October 2023 opening of a priority credit line (PCL) used to temporarily fund the purchase of a new home, using securities from their other accounts as collateral. Clients allege it was not explained to them that the credit line would accrue interest, and asked to have the management fees and PCL interest returned or reimbursed to them. |
| <b>Product Type:</b>   | Other: credit line  |
| <b>Alleged Damages:</b>  | \$0.00  |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | The customer did not specify any damages, but sought reimbursement for management fees and interest related to a priority credit line (PCL).  |
| <b>Is this an oral complaint?</b>  | No  |
| <b>Is this a written complaint?</b>  | Yes   |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | No  |

## Customer Complaint Information

|  |            |
|--|------------|
| <b>Date Complaint Received:</b>        | 01/23/2025 |
| <b>Complaint Pending?</b>              | Yes        |
| <b>Settlement Amount:</b>              |            |
| <b>Individual Contribution Amount:</b> |            |

## End of Report



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