

BrokerCheck Report

CHARLES HENSLEY BRUCE WOODWARD

CRD# 722200

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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.

CHARLES H. WOODWARD

CRD# 722200

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 S F SENTRY SECURITIES, INC.**
CRD# 27432
SAN FRANCISCO, CA
08/2017 - 07/2021
- B WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
SAN FRANCISCO, CA
12/2008 - 06/2017
- B UBS FINANCIAL SERVICES INC.**
CRD# 8174
SAN FRANCISCO, CA
08/1994 - 12/2008

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
Termination	2

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 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/31/1993
B Uniform Securities Agent State Law Examination	Series 63	05/26/1981

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 08/2017 - 07/2021	S F SENTRY SECURITIES, INC.	27432	SAN FRANCISCO, CA
B 12/2008 - 06/2017	WELLS FARGO CLEARING SERVICES, LLC	19616	SAN FRANCISCO, CA
B 08/1994 - 12/2008	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA
B 11/1984 - 09/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 12/1983 - 12/1984	L. F. ROTHSCHILD, UNTERBERG, TOWBIN	501	
B 01/1981 - 12/1983	KIDDER, PEABODY & CO. INCORPORATED	7613	

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
09/2021 - Present	Integrated Advisors Network, LLC	Investment Advisor Representative	Y	Palos Verdes Estates, CA, United States
06/2017 - Present	SF Sentry Securities, Inc.	Registered Representative	Y	San Francisco, CA, United States
06/2017 - Present	San Francisco Sentry Investment Group	Investment Adviser Representative	Y	San Francisco, CA, United States
11/2016 - 06/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, 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.

OBA 1

RENTAL PROPERTY; INVESTMENT RELATED; PHOENIX, AZ; 10% OWNERSHIP; START DATE = 2005; MINIMAL TIME DEVOTED; NONE DURING TRADING HOURS.

OBA 2

RENTAL PROPERTY (CONDO); INVESTMENT RELATED; BAJA MEXICO; OWNER; START DATE 2006; 0 HRS PER MONTH; 0 HRS DURING TRADING.

OBA 3

San Francisco Maritime National Park Assn; Non-investment related; California; Board of Directors; Start Date 2012; 4 HRS per month; 0 HRS during trading

OBA 4

Olympic Club Foundation; Non-investment related; California; Board of Directors; Start Date 2012; 4 HRS per month; 0 HRS during trading

OBA 5

SAN FRANCISCO SENTRY INVESTMENT GROUP; INVESTMENT-RELATED: Yes; ADDRESS: 100 PINE STREET, SUITE 2700 SAN FRANCISCO, CA 94111; NATURE: SEC REGISTERED INVESTMENT ADVISOR - PROVIDE INVESTMENT ADVISORY SERVICES; POSTION, TITLE OR RELATIONSHIP: Investment Adviser Representative; START DATE: 06/2017; # OF HRS/MTH: 160; # OF HRS/MTH DURING TRADING HRS: 160; DUTIES: PROVIDE INVESTMENT ADVISORY SERVICES

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
Customer Dispute	0	2	N/A
Termination	N/A	2	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.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FRAUD, MISREPRESENTATION, OMISSIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THEIR PURCHASE OF LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES.
	TIME FRAME: 10/07 - 9/08
Product Type:	Other: LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$1 MIL - 3 MIL
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA



Docket/Case #: 09-06012
Filing date of arbitration/CFTC reparation or civil litigation: 10/29/2009

Customer Complaint Information

Date Complaint Received: 10/29/2009
Complaint Pending? No
Status: Settled
Status Date: 11/15/2010
Settlement Amount: \$475,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FRAUD, MISREPRESENTATION, OMISSIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THEIR PURCHASE OF LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES. TIME FRAME: 10/07-9/08

Product Type: Other: LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): \$1 MIL-3MIL

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 09-06012
Filing date of arbitration/CFTC reparation or civil litigation: 10/29/2009

Customer Complaint Information

Date Complaint Received: 10/29/2009
Complaint Pending? No
Status: Settled
Status Date: 11/15/2010
Settlement Amount: \$475,000.00
Individual Contribution Amount: \$0.00

Broker Statement THE UBS STRUCTURED PRODUCTS SALES DESK IN NEW YORK WERE PLACED ON SEVERAL CONFERENCE CALLS WITH THE CLIENT AND WERE 100% RESPONSIBLE FOR EXPLAINING THIS INVESTMENT, ITS RISKS & THEN CLOSED THE SALE FOR US. THE UBS SALES DESK MISREPRESENTED THE FACTS NOT THE FINANCIAL ADVISORS AS WE HAD NO EXPERIENCE WITH THE STRUCTURED PRODUCTS THIS CLIENT WAS INTERESTED IN

Disclosure 2 of 2

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: CLIENT COMPLAINS VERBALLY THAT HE INSTRUCTED FA TO SELL 125,000 SHARES OF CENTURA SOFTWARE AT THE OPEN ON 11/17/99 AND THE FA DID NOT SELL UNTIL ONE TO TWO HOURS AFTER THE OPEN. CLIENT ALLEGED DAMAGES IN THE FORM OF "LOST PROFITS" OF \$113,000.00.

Product Type: Equity - OTC
Alleged Damages: \$113,000.00

Customer Complaint Information

Date Complaint Received: 11/19/1999
Complaint Pending? No



Status: Settled

Status Date: 12/20/1999

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement

AS BROKER-OF-RECORD FOR THE CHARITABLE ACCOUNT FOR 3 YEARS, THE ADMINISTRATOR WAS ILL-PREPARED AND NEVER COMMUNICATED TO ME IMPORTANT DETAILS ABOUT A \$1 MILLION STOCK GIFT THAT WAS PENDING. THIS CLIENT PROVIDED NO INFORMATION; THE NAME OF THE STOCK, THE DONOR, OR ANY OTHER BASIC INFORMATION THAT WOULD HAVE BEEN THE PROFESSIONAL EXPECTATION. WE SPOKE IN GENERAL TERMS OF SELLING "THE STOCK" WHENEVER IT CAME INTO THEIR ACCOUNT. THERE WAS NEVER A DIRECT ORDER TO SELL THE STOCK AT THE MARKET OPENING BECAUSE I HAD'NT EVEN RECEIVED IT DURING THE CONVERSATION, ONLY TO BE LOOKING FOR IT SOON. HAD I RECEIVED PROPER INFORMATION FROM THE CLIENT ABOUT THE STOCK THERE WAS PLENTY OF TIME TO HAVE EXECTED AN ORDER AT THE OPENING (AT A HIGHER PRICE). THE ALLEGATIONS OF THIS UNPREPARED CLIENT ABOUT A LARGE STOCK GIFT ARE GROSSLY UNFAIR.



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 2

Reporting Source: Firm
Employer Name: WELLS FARGO CLEARING SERVICES, LLC
Termination Type: Discharged
Termination Date: 05/31/2017
Allegations: Registered representative failed to reconfirm orders with clients prior to entry.
Product Type: No Product

Reporting Source: Broker
Employer Name: Wells Fargo Clearing Services, LLC
Termination Type: Discharged
Termination Date: 05/31/2017
Allegations: Registered representative failed to reconfirm orders with clients prior to entry.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Employer Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 12/01/2008
Allegations: FINANCIAL ADVISOR FAILED TO OBTAIN VERBAL CONFIRMATION OF CLIENT ORDER IN VIOLATION OF FIRM POLICY. FINANCIAL ADVISOR ALSO PURPOSELY BROKE UP CLIENT ORDER FOR PURPOSES OF EXECUTION, AND PLACED CLIENT ORDER AS 'MARKET' RATHER THAN 'LIMIT' ORDER CONTRARY TO CLIENT INSTRUCTION. FINANCIAL ADVISOR FURTHER FAILED TO COMMUNICATE CIRCUMSTANCES SURROUNDING TRADE ERROR TO MANAGEMENT
Product Type: No Product

**Other Product Types:**

Reporting Source: Broker

Employer Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 12/01/2008

Allegations: FINANCIAL ADVISOR FAILED TO OBTAIN VERBAL CONFIRMATION OF CLIENT ORDER IN VIOLATION OF FIRM POLICY. FINANCIAL ADVISOR ALSO PURPOSELY BROKE UP CLIENT ORDER FOR PURPOSES OF EXECUTION, AND PLACED CLIENT ORDER AS 'MARKET' RATHER THAN 'LIMIT' ORDER CONTRARY TO CLIENT INSTRUCTION. FINANCIAL ADVISOR FURTHER FAILED TO COMMUNICATE CIRCUMSTANCES SURROUNDING TRADE ERROR TO MANAGEMENT

Product Type: No Product

Other Product Types:

Broker Statement MR. WOODWARD DENIES THAT A SUFFICIENT BASIS IN LAW OR FACT EXISTED TO SUPPORT THE TERMINATION OF HIS EMPLOYMENT BY UBS, AND FURTHER, CONTENDS THAT UBS' CHARACTERIZATION IN ITS FORM U-5 OF THE FACTS OF MR. WOODWARD'S TERMINATION IS INACCURATE.

End of Report



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