



## IAPD Report

# Timothy Paul Woods

CRD# 1143935

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### Timothy Paul Woods (CRD# 1143935)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/23/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/20/2017
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/21/2017

### QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **28** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	UBS FINANCIAL SERVICES INC.	8174	WEST DES MOINES, IA	08/12/2006 - 11/29/2017
IA	UBS FINANCIAL SERVICES INC.	8174	WEST DES MOINES, IA	08/12/2006 - 11/29/2017
IA	PIPER JAFFRAY & CO.	665	OSKALOOSA, IA	04/21/1999 - 08/12/2006

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **28** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**  
Main Address: 200 VESEY ST.  
NEW YORK, NY 10281  
Firm ID#: 31194

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	11/21/2017
<b>B</b> BOX Exchange LLC	General Securities Sales Supervisor	Approved	11/21/2017
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	11/21/2017
<b>B</b> Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/21/2017
<b>B</b> FINRA	General Securities Representative	Approved	11/21/2017



## Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	11/21/2017
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B NYSE American LLC	General Securities Representative	Approved	11/21/2017
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	11/21/2017
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/21/2017
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/21/2017



## Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/21/2017
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/21/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	11/21/2017
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/21/2017
B	Nasdaq Texas, LLC	General Securities Representative	Approved	11/21/2017
B	Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	11/21/2017
B	New York Stock Exchange	General Securities Representative	Approved	11/21/2017
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	11/21/2017
B	Arkansas	Agent	Approved	11/21/2017
B	California	Agent	Approved	11/21/2017
B	Colorado	Agent	Approved	11/21/2017
B	Delaware	Agent	Approved	01/31/2018
B	Florida	Agent	Approved	02/09/2018
IA	Florida	Investment Adviser Representative	Approved	02/09/2018
B	Illinois	Agent	Approved	11/21/2017
IA	Iowa	Investment Adviser Representative	Approved	11/20/2017
B	Iowa	Agent	Approved	11/21/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Kansas	Agent	Approved	11/21/2017
<b>B</b> Michigan	Agent	Approved	11/21/2017
<b>B</b> Minnesota	Agent	Approved	12/10/2017
<b>B</b> Mississippi	Agent	Approved	01/19/2018
<b>B</b> Missouri	Agent	Approved	11/21/2017
<b>B</b> Montana	Agent	Approved	11/21/2017
<b>B</b> Nebraska	Agent	Approved	11/21/2017
<b>B</b> Nevada	Agent	Approved	01/30/2018
<b>B</b> New Jersey	Agent	Approved	01/19/2018
<b>B</b> New Mexico	Agent	Approved	11/21/2017
<b>B</b> New York	Agent	Approved	11/21/2017
<b>B</b> North Carolina	Agent	Approved	11/21/2017
<b>B</b> Ohio	Agent	Approved	01/19/2018
<b>B</b> Oklahoma	Agent	Approved	01/23/2018
<b>B</b> Pennsylvania	Agent	Approved	11/21/2017
<b>B</b> South Dakota	Agent	Approved	11/21/2017
<b>B</b> Tennessee	Agent	Approved	11/21/2017
<b>B</b> Texas	Agent	Approved	11/21/2017
<b>IA</b> Texas	Investment Adviser Representative	Restricted	11/20/2017



### Qualifications

Regulator	Registration	Status	Date
		Approval	
<b>B</b> Washington	Agent	Approved	11/21/2017
<b>B</b> Wisconsin	Agent	Approved	11/21/2017

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
1250 NW 128TH STREET  
SUITE 200  
CLIVE, IA 50325-7474

**RBC CAPITAL MARKETS, LLC**  
Bonita Springs, FL



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/28/1997

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	06/28/1989
General Securities Representative Examination (S7)	Series 7	06/18/1983

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/28/2000
Uniform Securities Agent State Law Examination (S63)	Series 63	07/08/1983

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	08/12/2006 - 11/29/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEST DES MOINES, IA
IA	08/12/2006 - 11/29/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEST DES MOINES, IA
IA	04/21/1999 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	OSKALOOSA, IA
B	06/22/1983 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	OSKALOOSA, IA

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2019 - Present	City National Bank	Employee of an affiliate	Y	Des Moines, IA, United States
11/2017 - Present	RBC Capital Markets, LLC	Branch Director	Y	Des Moines, IA, United States
08/2006 - 11/2017	UBS FINANCIAL SERVICES INC.	BRANCH MANAGER	Y	WEST DES MOINES, IA, United States

#### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) BUGLE RIDGE LLC; ADDRESS: GRANT CITY, MO; BUSINESS DESCRIPTION: 4500 ACRE HUNTING FARM; NOT INVESTMENT RELATED; START DATE: 04/16/2018; CAPACITY: OWNER-PASSIVE; DUTIES: NONE; HOURS DEVOTED PER MONTH: NONE; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: NONE;

(2) FATHER JOHN FOUNDATION; ADDRESS: 1350 NW 128 ST., STE 100, CLIVE, IA; BUSINESS DESCRIPTION: INVESTMENT FOUNDATION ACCOUNT; NOT INVESTMENT RELATED; START DATE: 04/08/2004; CAPACITY: COMMITTEE/COUNCIL MEMBER; DUTIES: GENERAL OVERSIGHT; HOURS DEVOTED PER MONTH: <1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: <1.

(3) CAN DO PARTNERS; ADDRESS: 7704 LISON STREET, INDIANOLA, IA 50125; NOT INVESTMENT RELATED; BUSINESS DESCRIPTION: THOROUGHBRED HORSES; CAPACITY: OWNER-PASSIVE/PARTNER; START DATE: 10/1/2018; DUTIES: INVESTOR; HOURS DEVOTED PER MONTH: <1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR FAILED TO INFORM HIM WITH THE PROBLEMS WITH THE STRUCTURED PRODUCT WAS HELD IN HIS ACCOUNT. THE CLIENT FURTHER ALLEGES THAT AFTER EXPERIENCING LOSSES THAT HE CONTINUED TO RECOMMENDING THESE TYPES OF SECURITIES FOR HIM. THE CLIENT FINALLY ALLEGES WHETHER HIS FA HAD HIS BEST INTEREST WHEN HE INVESTED \$1.3 MILLION IN A NEW CLOSED END FUND WITH EMBEDDED SALES CHARGES AND GIVEN HIS MARGINAL INCOME TAX BRACKET SELLING HIS TAX EXEMPT AND MOVING THE FUNDS INTO STRUCTURED PRODUCTS AND TAXABLE BONDS. TIME FRAME: APRIL 24, 2007 TO DECEMBER 31, 2010.

**Product Type:** Other: STRUCTURED PRODUCTS

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES UNSPECIFIED BUT ESTIMATED TO BE OVER OF \$5,000.00

**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:** 03/14/2011

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/23/2011

**Settlement Amount:** \$80,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**  
EVEN THOUGH THIS CASE WAS SETTLED, I DENY ANY WRONG DOING NOR DO I ADMIT AND LIABILTY ON MY PART. THE STRUCTURED PRODUCT REPRESENTED LESS THAN 1% OF THE CLIENT'S TOTAL PORTFOLIO AND WAS SUITABLE FOR THE CLIENT AT THE TIME OF PURCHASE. THIS COMPLIANT WOULD NOT HAVE BECOME AN ISSUE EXCEPT FOR THE FINANCIAL COLLAPSE OF 2008 AND THE BANKRUPTCY OF LEHMAN BROTHERS. UBS SETTLED THIS COMPLIANT DUE TO THE UNCERTAINTIES AND COST OF THE ARBITRATION FORUM AND I WAS NOT ASKED TO PERSONALLY CONTRIBUTE AN MONIES TOWARD THE SETTLEMENT AND THE CLIENT IS STILL A CLIENT OF MINE

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** PIPER JAFFRAY & HOPWOOD

**Allegations:** CHURNING; BRCH OF FIDUCIARY DT; SUITABILITY

**Product Type:** Other

**Other Product Type(s):** UNSPECIFIED TYPE OF SECURITIES

**Alleged Damages:** \$10,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #89-02259](#)

**Date Notice/Process Served:** 01/01/1989

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 12/04/1989

**Disposition Detail:** RESPONDENT MEMBER IS SEPARATELY LIABLE AND SHALL PAY TO THE CLAIMANTS THE SUM OF \$5,000.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PIPER JAFFRAY & HOPWOOD

**Allegations:** ALLEGED CHURNING, BREACH OF FIDUCIARY DUTY, SUITABILITY ACTUAL/COMPENSATORY DAMAGES ASKED AMOUNT



\$10,000.00

**Product Type:**

**Alleged Damages:** \$10,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [National Association of Securities Dealers, Inc.; 89-02259](#)

**Date Notice/Process Served:** 01/01/1989

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/05/1989

**Monetary Compensation Amount:** \$5,000.00

**Individual Contribution Amount:**

**Broker Statement**

ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$5,000.00 JOINTLY OR SEVERALLY  
MR. WOODS WAS NOT HELD LIABLE. THE RESPONDENT, PIPER JAFFRAY, WAS HELD SEPARATELY LIABLE. FURTHERMORE, THE CLAIMENTS OF THE CASE WERE FORCED TO PAY ALL OF THEIR OWN LEGAL EXPENSES AND FILING FEES. I FEEL THIS IS AN UNJUST BLEMISH ON MY OTHERWISE CLEAN RECORD. NOW 4 YEARS AFTER THE FACT, DUE TO COMPLIANCE RULES, I HAVE TO SIGN THIS FORM, EVEN THOUGH I WAS NOT FOUND LIABLE FOR ANY OF THE ALLEGATIONS MENTIONED.



## End of Report

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