



IAPD Report

ANTHONY DOUGLAS BRANCA

CRD# 1178639

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|-----------------------|
| Report Summary | 1 |
| Qualifications | 2 - 4 |
| Registration and Employment History | 5 - 6 |
| Disclosure Information | 7 |



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.



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

ANTHONY DOUGLAS BRANCA (CRD# 1178639)

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 **03/24/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-----------------------------------|-------------|------------------|
| IA | WOODSTOCK WEALTH MANAGEMENT, INC. | CRD# 283472 | 07/09/2018 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** 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 | MONMOUTH CAPITAL MANAGEMENT LLC | 290248 | POINT PLEASANT BEACH, NJ | 12/14/2021 - 06/28/2022 |
| B | WOODSTOCK FINANCIAL GROUP, INC. | 38095 | WOODSTOCK, GA | 09/15/2008 - 12/12/2019 |
| IA | WOODSTOCK FINANCIAL GROUP, INC. | 38095 | WOODSTOCK, GA | 09/15/2008 - 03/14/2019 |

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 | 1 |



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 **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WOODSTOCK WEALTH MANAGEMENT, INC.**

Main Address: 250 RIVER PARK NORTH DRIVE
WOODSTOCK, GA 30188

Firm ID#: 283472

| Regulator | Registration | Status | Date |
|-----------------|-----------------------------------|---------------------|------------|
| IA Florida | Investment Adviser Representative | Approved | 07/17/2023 |
| IA Georgia | Investment Adviser Representative | Approved | 07/09/2018 |
| IA New Jersey | Investment Adviser Representative | Approved | 09/08/2023 |
| IA Pennsylvania | Investment Adviser Representative | Approved | 03/27/2025 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 07/10/2023 |

Branch Office Locations

WOODSTOCK WEALTH MANAGEMENT, INC.

250 RIVER PARK NORTH DRIVE
WOODSTOCK, GA 30188



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 6 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Municipal Securities Principal Examination (S53) | Series 53 | 01/02/2023 |
|  Compliance Officer Examination (S14) | Series 14 | 01/02/2023 |
|  General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 01/02/2023 |
|  General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 01/02/2023 |
|  General Securities Principal Examination (S24) | Series 24 | 01/02/2023 |
|  General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 01/18/1994 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-------------|------------|
|  Municipal Securities Representative Examination (S52TO) | Series 52TO | 01/02/2023 |
|  General Securities Representative Examination (S7TO) | Series 7TO | 01/02/2023 |
|  Operations Professional Examination (S99TO) | Series 99TO | 01/02/2023 |
|  Investment Banking Registered Representative Examination (S79TO) | Series 79TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 12/06/1990 |



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

| | Exam | Category | Date |
|--|--|-----------|------------|
|   | Uniform Combined State Law Examination (S66) | Series 66 | 06/21/2002 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 12/19/1990 |

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 | 12/14/2021 - 06/28/2022 | MONMOUTH CAPITAL MANAGEMENT LLC | CRD# 290248 | POINT PLEASANT BEACH, NJ |
| B | 09/15/2008 - 12/12/2019 | WOODSTOCK FINANCIAL GROUP, INC. | CRD# 38095 | WOODSTOCK, GA |
| IA | 09/15/2008 - 03/14/2019 | WOODSTOCK FINANCIAL GROUP, INC. | CRD# 38095 | WOODSTOCK, GA |
| IA | 06/02/2006 - 10/10/2008 | IC ADVISORY SERVICES, INC. | CRD# 140190 | PISCATAWAY, NJ |
| B | 12/15/2003 - 10/10/2008 | THE INVESTMENT CENTER, INC. | CRD# 17839 | PISCATAWAY, NJ |
| IA | 12/15/2003 - 06/02/2006 | THE INVESTMENT CENTER, INC. | CRD# 17839 | PISCATAWAY, NJ |
| B | 06/01/2000 - 12/15/2003 | THE CONCORD EQUITY GROUP, LLC | CRD# 14569 | ISELIN, NJ |
| B | 12/08/1999 - 06/01/2000 | J.J.B. HILLIARD, W.L. LYONS, INC. | CRD# 453 | LOUISVILLE, KY |
| B | 06/04/1997 - 12/08/1999 | ATLANTIC GROUP SECURITIES, INC. | CRD# 42194 | MILLBURN, NJ |
| B | 10/04/1994 - 08/29/1997 | RICKEL & ASSOCIATES, INC. | CRD# 7839 | NEW YORK, NY |
| B | 12/10/1990 - 09/07/1994 | HALPERT AND COMPANY, INC. | CRD# 7094 | MILLBURN, NJ |

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 |
|-------------------|-----------------------------------|------------|--------------------|------------------------------|
| 06/2018 - Present | Woodstock Wealth Management, Inc. | IAR | Y | Woodstock, GA, United States |
| 12/2021 - 06/2022 | Monmouth Capital Management LLC | Compliance | Y | Holmdel, NJ, United States |
| 09/2008 - 12/2019 | WOODSTOCK FINANCIAL GROUP | BROKER/IAR | Y | WOODSTOCK, GA, United States |



Registration & Employment History

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. BRANCA FINANCIAL GROUP, LLC; NOT INVESTMENT RELATED; CANTON, GA 30114; PAY EXPENSES FOR 1099 INCOME RECEIVED FROM INSURANCE BUSINESS. ALSO, CONSULTING TO FIRMS AND REGISTERED REPRESENTATIVES; PRESIDENT; 100 PERCENT OWNERSHIP; STARTED 02/2010; DEVOTES APPROXIMATE 2 HOURS A MONTH TO OTHER BUSINESS WHICH NONE ARE DURING TRADING HOURS; DUTIES INCLUDE ADMINISTRATION OF BUSINESS 2. BRANCA ENTERPRISES LLC; NOT INVESTMENT RELATED; CANTON, GA 30114; WEBSITE OFFERING MUSIC, SPORTS AND HISTORY. RESELLER OF HEALTH PRODUCTS; MANAGING MEMBER; STARTED 05/2015; DEVOTES APPROXIMATELY 1 HOURS A MONTH WHICH NONE ARE DURING BUSINESS HOURS; DUTIES INCLUDE ADMINISTRATIVE OF BUSINESS. 3. ANTHONY BRANCA SOLE PROPRIETOR; INVESTMENT-RELATED; CANTON, GA 30114; SELL NON-SECURITY INSURANCE; SOLE PROPRIETOR; STARTED 12/2005; DEVOTES APPROXIMATE 1 HOUR A MONTH OF WHICH NONE IS DURING TRADING HOURS; DUTIES INCLUDE SELL NON-SECURITIES INSURANCE PRODUCTS.



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 | 1 |

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 1

| | |
|--|---|
| Reporting Source: | Individual |
| Employing firm when activities occurred which led to the complaint: | WOODSTOCK FINANCIAL GROUP |
| Allegations: | Client states rep mismanaged and neglected accounts and invested in things that were high risk and unsuitable for their ages and financial situation. |
| Product Type: | Debt-Corporate Direct Investment-DPP & LP Interests Equity Listed (Common & Preferred Stock) Other: Regulation D Private Placement |
| Alleged Damages: | \$571,882.00 |
| Alleged Damages Amount Explanation (if amount not exact): | the client stated their 2017 taxes show a carry over tax loss of this amount. |
| 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: 06/13/2017

Complaint Pending? No

Status: Closed/No Action



Status Date: 08/28/2017

Settlement Amount:

Individual Contribution Amount:

Broker Statement

The client filled out the complaint form on finra.org which we were notified of via an information request on 08/14/19. There was no activity with the clients since before the original complaint in 2017. The activity of the 8-14-2019 and 2017 complaints were the same activity.

The rep's comment is: I vehemently deny all allegations against me. One of the products in question was a Regulation D Private Placement purchased in 2010 for which the client received all the disclosure documents including those highlighting the risks. The clients filled out and properly executed subscription documents that were accepted by Manager of fund. All communications regarding fund were sent or made by the fund manager and anytime clients asked me questions regarding the fund I referred them to the fund manager. The clients received statements and 1099's directly from all custodians involved not from the representative or firm. The fund manager worked with the clients to redeem their membership units in January 2020 to the satisfaction of all parties. The clients called representative hundreds of times over the years asking to be traded more aggressively and invited rep to their house in the summer of 2015 to talk about a more aggressive strategy.



End of Report

This page is intentionally left blank.