



## IAPD Report

# Paul Woodson Abele

CRD# 1321366

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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

### Paul Woodson Abele (CRD# 1321366)

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 **06/06/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CANTERBURY INVESTMENT ADVISORS LLC	CRD# 295652	10/03/2023

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	INVESTMENT ADVISOR GROUP	312448	MOUNTAIN BROOK, AL	05/02/2023 - 10/02/2023
IA	ADVISORY SERVICES NETWORK	146051	MOUNTAIN BROOK, AL	10/12/2022 - 05/02/2023
IA	INVESTMENT ADVISOR GROUP	312448	MOUNTAIN BROOK, AL	05/01/2023 - 05/01/2023

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
Termination	2
Financial	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **CANTERBURY INVESTMENT ADVISORS LLC**  
Main Address: 300 OFFICE PARK DRIVE  
SUITE 230  
MOUNTAIN BROOK, AL 35223  
Firm ID#: 295652

Regulator	Registration	Status	Date
 Alabama	Investment Adviser Representative	Approved	10/03/2023

#### Branch Office Locations

**CANTERBURY INVESTMENT ADVISORS LLC**  
300 OFFICE PARK DRIVE  
SUITE 230  
MOUNTAIN BROOK, AL 35223



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/26/1997

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	05/16/2018
	National Commodity Futures Examination (S3)	Series 3	04/07/1986
	General Securities Representative Examination (S7)	Series 7	01/19/1985

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/25/2016
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/25/1985

### 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
IA	05/02/2023 - 10/02/2023	INVESTMENT ADVISOR GROUP	CRD# 312448	MOUNTAIN BROOK, AL
IA	10/12/2022 - 05/02/2023	ADVISORY SERVICES NETWORK	CRD# 146051	MOUNTAIN BROOK, AL
IA	05/01/2023 - 05/01/2023	INVESTMENT ADVISOR GROUP	CRD# 312448	MOUNTAIN BROOK, AL
IA	05/24/2018 - 10/11/2022	CANTERBURY INVESTMENT ADVISORS LLC	CRD# 295652	MOUNTAIN BROOK, AL
IA	01/18/2018 - 05/16/2018	INNOVATION PARTNERS LLC	CRD# 146344	CHARLOTTE, NC
B	12/19/2017 - 05/16/2018	INNOVATION PARTNERS LLC	CRD# 146344	CHARLOTTE, NC
B	11/30/2017 - 11/30/2017	DFPG INVESTMENTS, INC.	CRD# 155576	Mountain Brook, AL
IA	11/30/2017 - 11/30/2017	DFPG INVESTMENTS, INC.	CRD# 155576	Mountain Brook, AL
B	07/20/2017 - 10/25/2017	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
IA	07/20/2017 - 10/25/2017	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
IA	07/26/2016 - 07/12/2017	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	Mountain Brook, AL
B	07/14/2016 - 07/12/2017	SCF SECURITIES, INC.	CRD# 47275	MOUNTAIN BROOK, AL
IA	11/15/2013 - 07/15/2016	ARBOR POINT ADVISORS	CRD# 165127	BIRMINGHAM, AL
IA	11/15/2013 - 07/15/2016	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BIRMINHAM, AL
B	11/15/2013 - 07/15/2016	SECURITIES AMERICA, INC.	CRD# 10205	BIRMINGHAM, AL



## 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	11/05/2013 - 11/12/2013	GRADIENT SECURITIES, LLC	CRD# 127701	ARDEN HILLS, MN
IA	05/21/2013 - 11/05/2013	SIGNATURE INVESTMENTS, INC.	CRD# 113443	BIRMINGHAM, AL
B	05/21/2013 - 10/31/2013	SICOR SECURITIES INC	CRD# 16195	DAYTON, OH
IA	03/27/2012 - 05/21/2013	LIBERTY PARTNERS CAPITAL MANAGEMENT, LLC	CRD# 131117	RALEIGH, NC
B	03/09/2012 - 05/21/2013	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	CRD# 130390	RALEIGH, NC
IA	04/15/2010 - 05/13/2013	ABELE FINANCIAL GROUP LLC	CRD# 145506	BIRMINGHAM, AL
B	06/03/2010 - 03/21/2012	SECURITIES AMERICA, INC.	CRD# 10205	BIRMINGHAM, AL
B	12/14/2009 - 07/02/2010	PROEQUITIES, INC.	CRD# 15708	BIRMINGHAM, AL
IA	10/06/2009 - 11/09/2009	SILVER OAK SECURITIES, INC.	CRD# 46947	JACKSON, TN
B	10/01/2009 - 11/09/2009	SILVER OAK SECURITIES, INCORPORATED	CRD# 46947	JACKSON, TN
B	08/18/2009 - 09/22/2009	GREAT AMERICAN ADVISORS, INC.	CRD# 36451	BIRMINGHAM, AL
IA	08/18/2009 - 09/22/2009	GREAT AMERICAN ADVISORS, INC.	CRD# 36451	BIRMINGHAM, AL
IA	03/27/2009 - 07/31/2009	SSN ADVISORY, INC.	CRD# 126090	BIRMINGHAM, AL
B	12/18/2008 - 07/31/2009	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
IA	04/07/2008 - 03/27/2009	ABELE FINANCIAL GROUP LLC	CRD# 145506	BIRMINGHAM, AL



## 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	09/23/2003 - 10/16/2008	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	BIRMINGHAM, AL
IA	01/12/2007 - 04/07/2008	SSN ADVISORY, INC.	CRD# 126090	BIRMINGHAM, AL
IA	07/22/2003 - 12/31/2006	ABELE MCGOWEN LLC	CRD# 126515	BIRMINGHAM, AL
B	10/01/1998 - 09/23/2003	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
IA	01/15/1999 - 07/21/2003	SECURITIES AMERICA ADVISORS INC	CRD# 110518	BIRMINGHAM, AL
B	07/30/1996 - 10/01/1998	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	11/19/1989 - 08/02/1996	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/01/1988 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	01/23/1985 - 06/02/1988	HOWARD, WEIL, LABOUISSSE, FRIEDRICHS INC.	CRD# 414	

### 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
02/2018 - Present	Canterbury Investment Advisors LLC	Managing Member/Investment Advisor Representative/CCO	Y	Mountain Brook, AL, United States
01/1985 - Present	Paul Abele, Sole Proprietor	Insurance Agent	Y	Mountain Brook, AL, United States
04/2023 - 09/2023	Investment Advisor Group	Investment Advisor Representative	Y	Hancock, NY, United States
10/2022 - 04/2023	Advisory Services Network LLC	Investment Advisor	Y	Atlanta, GA, United States
01/2018 - 05/2018	Innovation Partners LLC	Investment Adviser Representative	Y	CHARLOTTE, NC, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2017 - 05/2018	Innovation Partners LLC	Registered Representative	Y	Charlotte, NC, United States
11/2017 - 11/2017	DFPG Investments, Inc	Registered Representative/Investment Advisor Representative	Y	SANDY, UT, United States
07/2017 - 10/2017	United Planners' Financial Services of America A Limited Partner	Investment Advisor Representative/Registered Representative	Y	Scottsdale, AZ, United States
07/2016 - 07/2017	SCF INVESTMENT ADVISORS, INC.	Investment Advisor Rep	Y	Fresno, CA, United States
07/2016 - 07/2017	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, CA, United States
11/2013 - 07/2016	ARBOR POINT ADVISORS	IAR	Y	BIRMINGHAM, AL, United States
11/2013 - 07/2016	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	BIRMINGHAM, AL, United States
11/2013 - 07/2016	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	BIRMINGHAM, AL, 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.

Paul Abele, Sole Proprietor; Investment Related; Mountain Brook, AL; Insurance Agent; Fixed Insurance Sales; Started 01/1985; Approximately 25% of his time is spent on this activity.



## 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
Termination	2
Financial	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 2

**Reporting Source:** Firm

**Firm Name:** INVESTMENT ADVISOR GROUP

**Termination Type:** Permitted to Resign

**Termination Date:** 09/30/2023

**Allegations:** Submitted a contract for fee payments on same day as advance fee draw to Nationwide Advisor Services for Canterbury Investment Advisors LLC RIA, while still under supervision of IAG, without verbal or written communication to the Chief Compliance Officer. At the time, Canterbury Investment Advisors LLC was not properly registered with the State of Alabama, a non-dual registration state.

**Product Type:** Investment Contract

**Firm Statement** Industry Standards of Conduct with no communications to current supervising CCO.

#### Disclosure 2 of 2

**Reporting Source:** Firm

**Firm Name:** United Planners Financial Services of America

**Termination Type:** Discharged

**Termination Date:** 10/25/2017

**Allegations:** The FLS discovered that the RR provided personal funds to a client to reimburse expenses incurred. This matter was done outside of the member firm and did not receive approval.

**Product Type:** No Product

**Firm Statement** RR reimbursed the client \$3,000 (2 x \$1,500) to reimburse filing fee and interest



for his tax filing without approval to the member firm.

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**Reporting Source:** Individual  
**Firm Name:** United Planners Financial Services of America  
**Termination Type:** Discharged  
**Termination Date:** 10/27/2017  
**Allegations:** Registered Representative reimbursed \$3000 to a client for filing fees and interest for his tax filing without the approval of the firm.  
**Product Type:** No Product



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	06/07/2023
<b>Organization Name:</b>	Personal Bankruptcy, Medical
<b>Individual Position:</b>	Self
<b>Organization Investment-Related?</b>	No
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	US Bankruptcy Court
<b>Location of Court:</b>	Northern District of Alabama
<b>Docket/Case #:</b>	23-01486-7
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	09/11/2023
<b>Broker Statement</b>	Personal bankruptcy filed due to excessive medical expenses, resulting in consumer debt.



## End of Report

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