IAPD Report

WILLIAM JASPER RAIKE III

CRD# 1502298

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

WILLIAM JASPER RAIKE III (CRD# 1502298)

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 **12/26/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WOODSTOCK WEALTH MANAGEMENT, INC.	CRD# 283472	05/23/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** 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	WOODSTOCK FINANCIAL GROUP, INC.	38095	WOODSTOCK, GA	05/10/1995 - 12/12/2019
IA	WOODSTOCK FINANCIAL GROUP, INC.	38095	WOODSTOCK, GA	02/07/2006 - 03/14/2019
B	FIRST COLONIAL SECURITIES GROUP, INC.	25121	BOCA RATON, FL	02/28/1994 - 05/12/1995

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	5

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 **6** 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	06/14/2018
IA	Georgia	Investment Adviser Representative	Approved	06/08/2018
IA	North Carolina	Investment Adviser Representative	Approved	07/10/2018
IA	Ohio	Investment Adviser Representative	Approved	07/02/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	05/23/2018
IA	Virginia	Investment Adviser Representative	Approved	07/03/2018

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	05/01/1995
B	General Securities Principal Examination (S24)	Series 24	08/22/1988

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	03/02/2001
B	General Securities Representative Examination (S7)	Series 7	07/19/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/12/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	05/10/1995 - 12/12/2019	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	WOODSTOCK, GA
IA	02/07/2006 - 03/14/2019	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	WOODSTOCK, GA
B	02/28/1994 - 05/12/1995	FIRST COLONIAL SECURITIES GROUP, INC.	CRD# 25121	BOCA RATON, FL
B	09/15/1992 - 01/19/1994	DAVENPORT & CO. OF VIRGINIA, INC.	CRD# 1588	RICHMOND, VA
B	01/02/1987 - 07/29/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	07/28/1986 - 01/02/1987	MICHELIN AND COMPANY, INC.	CRD# 14447	

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	Woodstock Wealth Management, Inc.	CEO & CCO	Y	Woodstock, GA, United States
02/1995 - 12/2019	RAIKE FINANCIAL GROUP INC.	President	Y	WOODSTOCK, GA, 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. NATIONAL DEVELOPERS of VA LLC, NOT INVESTMENT RELATED, 710 THOMPSON FALLS DRIVE, CANTON, GA 30114, DEVELOP LAND - CURRENTLY NOT ACTIVE, MANAGER / OWNER, 100% OWNERSHIP, STARTED 2003, 2 HOURS PER MONTH - 0 DURING TRADING, DUTIES ARE TO OVERSEE AND MANAGE - CURRENTLY NOT ACTIVE 2. WOODSTOCK HOLDINGS, INC. INVESTMENT RELATED, OWNER of WOODSTOCK WEALTH MANAGEMENT INC,; 250 RIVER PARK NORTH DRIVE, WOODSTOCK, GA 30188, HOLDING COMPANY, CEO, 35.27 OWNERSHIP, STARTED FEB 2010, TWO HOURS PER MONTH NOT DURING TRADING HOURS, DUTIES ARE CEO, OWNER AND DIRECTOR 3. SOLE PROP, INVESTMENT RELATED, 710 Thompson Drive , Canton, GA 30114, SELLING INSURANCE - NON SECURITIES, INSURANCE AGENT, 100% OWNERSHIP, STARTED MAY 2012, 1 HOURS PER MONTH - ZERO DURING TRADING HOURS, SELL NON SECURITIES INSURANCE.

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WOODSTOCK FINANCIAL GROUP INC.
Allegations:	CLIENT INVESTED IN MEMBERSHIP INTERESTS OF A PRIVATE FILM FUND IN JANUARY 2006. THE FUND WAS DISSOLVED IN NOVEMBER 2011 AND THE CLIENT WAS SENT HIS PERCENTAGE OF THE VALUE OF THE ASSETS OF THE FUND AS PER THE OPERATING AGREEMENT OF THE LLC. THE CLIENT WAS UNHAPPY ABOUT HIS LOSS AND SUBSEQUENTLY FILED A COMPLAINT ALLEGING HE HAD NO KNOWLEDGE OF VARIOUS DISCLOSURES THAT WERE CLEARLY DISCLOSED IN THE PRIVATE PLACEMENT MEMORANDUM.
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	$170,000.00
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:	05/02/2012
Complaint Pending?	No
Status:	Settled
Status Date:	05/10/2012

Settlement Amount:	$24,999.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT WAS A HIGHLY ACCREDITED PERSON AND WAS PROVIDED A PRIVATE PLACEMENT MEMORANDUM THAT DISCLOSED ALL COMMISSIONS / CONFLICTS OF INTEREST / AND OTHER REQUIRED DISCLOSURES FOR A REGULATION D PRIVATE PLACEMENT. CLIENT COMPLETED ALL SUBSCRIPTION DOCUMENTS AND REPRESENTED HE HAD REVIEWED DOCUMENTS INCLUDING RISK DISCLOSURE AS FOLLOWS "HIGH DEGREE OF INVESTMENT RISK. THE PURCHASER REPRESENTS THAT HE / SHE IS AWARE THAT INVESTMENT IN THE SECURITIES INVOLVES A HIGH DEGREE OF RISK WHICH MAY RESULT IN THE COMPLETE LOSS OF INVESTMENT." CLIENT SUBSEQUENTLY WITHDREW COMPLAINT AGAINST MR. RAIKE PRIOR TO SETTLEMENT.

Disclosure 2 of 5

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	RAIKE FINANCIAL GROUP, INC.
Allegations:	UNSUITABLE INVESTMENTS, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF FINANCIAL PRODUCT
Alleged Damages:	$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-00146
Date Notice/Process Served:	01/10/2002
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/27/2002
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANT THE SUM OF $25,000.00 PLUS INTEREST.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAIKE FINANCIAL GROUP, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE
Product Type:	Other
Other Product Type(s):	DFS SECURED HEALTHCARE RECEIVABLES TRUST II
Alleged Damages:	$25,000.00

Customer Complaint Information

Date Complaint Received: 01/15/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 02-00146

Date Notice/Process Served: 01/15/2002

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/19/2002

Monetary Compensation Amount: $25,000.00

Individual Contribution Amount: $25,000.00

Broker Statement AWARD THAT HAS BEEN ENTERED IN THE ABOVE MATTER IS CONTESTED. THERE IS CURRENTLY A MOTION TO VACATE BEFORE THE NEW YORK SUPREME COURT, STATE OF NEW YORK, INDEX #02603566.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAIKE FINANCIAL GROUP INC.

Allegations: FAILURE TO SUPERVISE.

Product Type: Equity - OTC

Alleged Damages: $52,500.00

Customer Complaint Information

Date Complaint Received: 12/26/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim NASD 97-06014

filed with and Docket/Case No.:	
Date Notice/Process Served:	12/26/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/01/1998
Monetary Compensation Amount:	$30,500.00
Individual Contribution Amount:	$0.00
Broker Statement	E & O COMPANY MADE SETTLEMENT, RFG & WILLIAM RAIKE DENY LACK OF SUPERVISION.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAIKE FINANCIAL GROUP INC.
Allegations:	MISREPRESENTATION, LACK OF SUPERVISION
Product Type:	Equity - OTC
Alleged Damages:	$109,000.00

Customer Complaint Information

Date Complaint Received:	11/30/1996
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/23/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 97-02542
Date Notice/Process Served:	05/27/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/23/1998
Monetary Compensation Amount:	$55,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLEMENT WAS MADE TO CLIENT FOR APPROXMENTLY $55,000.00 BY AIG INC.[CUSTOMER] WAS A CLIENT OF A PREVIOUS RAIKE FINANCIAL

	GROUP BROKER. THIS CASE WAS SETTLED BY AMERICAN INTERNATIONAL INSURANCE GROUP. RFG CONTRIBUTED OUR E&O DEDUCTION TO THE SETTLEMENT BUT STILL VIGOROUSLY DENIES ANY WRONG DOING.

Disclosure 5 of 5

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FIRST COLONIAL SECURITIES, INC.
Allegations:	ACCOUNT RELATED - FAILURE TO SUPERVISE; CHURNING
Product Type:	
Alleged Damages:	$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #95-03466
Date Notice/Process Served:	07/19/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/23/1996
Disposition Detail:	CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST COLONIAL SECURITIES, INC.

Allegations:	ALLEGED FAILURE TO SUPERVISE.
Product Type:	Equity - OTC
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	07/19/1995
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/23/1996
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-03466
Date Notice/Process Served:	07/19/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/23/1996
Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IN THIS ARBITRATION PROCEEDING, I WAS THE OSJ FOR THE RESPONDENT BROKER, MR. GERALD SUMMERS. I VEHEMENTLY DENY THAT THERE WAS A LACK OF REASONABLE SUPERVISION IN THIS CASE, AND FURTHER DENY ANY ALLEGATIONS. THE E & O COMPANY SETTLED THIS CASE AND CASE WAS CLOSED. I DID NOT CONTRIBUTE TO THE SETTLEMENT.

End of Report

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