IAPD Report

DAVID WAYNE WOOLFORD

CRD# 1967193

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

DAVID WAYNE WOOLFORD (CRD# 1967193)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SNOWDEN ACCOUNT SERVICES LLC	CRD# 149794	09/16/2016
IA	SNOWDEN CAPITAL ADVISORS LLC	CRD# 157299	09/16/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	J.P. MORGAN SECURITIES LLC	79	PHILADELPHIA, PA	08/24/2011 - 09/21/2016
IA	J.P. MORGAN SECURITIES LLC	79	PHILADELPHIA, PA	08/24/2011 - 09/21/2016
B	UBS FINANCIAL SERVICES INC.	8174	BALTIMORE, MD	03/11/2005 - 08/31/2011

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	4

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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SNOWDEN CAPITAL ADVISORS LLC**

Main Address: 540 MADISON AVE.
9TH FLOOR
NEW YORK, NY 10022

Firm ID#: 157299

	Regulator	Registration	Status	Date
IA	Maryland	Investment Adviser Representative	Approved	09/23/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	11/05/2025

Branch Office Locations

SNOWDEN CAPITAL ADVISORS LLC
323 W. Camden St
Baltimore, MD 21201

Employment 2 of 2

Firm Name: **SNOWDEN ACCOUNT SERVICES LLC**

Main Address: 540 MADISON AVE
9TH FLOOR
NEW YORK, NY 10022

Firm ID#: 149794

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/16/2016
B	Colorado	Agent	Approved	01/07/2021
B	Connecticut	Agent	Approved	04/30/2025
B	Delaware	Agent	Approved	09/02/2025

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	09/16/2016
B	Florida	Agent	Approved	09/16/2016
B	Illinois	Agent	Approved	09/16/2016
B	Maryland	Agent	Approved	09/16/2016
B	Michigan	Agent	Approved	09/16/2016
B	New Hampshire	Agent	Approved	09/02/2025
B	New Jersey	Agent	Approved	09/16/2016
B	New York	Agent	Approved	04/15/2021
B	North Carolina	Agent	Approved	03/01/2024
B	Pennsylvania	Agent	Approved	09/16/2016
B	South Carolina	Agent	Approved	12/21/2020
B	Texas	Agent	Approved	09/20/2024
B	Virginia	Agent	Approved	09/16/2016
B	West Virginia	Agent	Approved	09/16/2016
B	Wyoming	Agent	Approved	06/01/2020

Branch Office Locations

323 W Camden St
Suite 675
Baltimore, MD 21201

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 0 principal/supervisory exams, 4 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)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	04/03/2006
B	National Commodity Futures Examination (S3)	Series 3	08/21/1989
B	General Securities Representative Examination (S7)	Series 7	07/15/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/26/1989

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	08/24/2011 - 09/21/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	PHILADELPHIA, PA
IA	08/24/2011 - 09/21/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	PHILADELPHIA, PA
B	03/11/2005 - 08/31/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	BALTIMORE, MD
IA	03/11/2005 - 08/31/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	BALTIMORE, MD
B	08/14/2009 - 06/23/2010	CAPITAL DYNAMICS BROKER DEALER LLC	CRD# 148780	NEW YORK, NY
IA	01/17/2003 - 03/16/2005	CREDIT SUISSE FIRST BOSTON	CRD# 816	BALTIMORE, MD
B	01/17/2003 - 03/16/2005	CREDIT SUISSE FIRST BOSTON LLC	CRD# 816	NEW YORK, NY
IA	12/05/2001 - 01/17/2003	DONALDSON LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	BALTIMORE, MD
B	05/18/2001 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	01/13/2001 - 06/01/2001	DEUTSCHE BANC ALEX. BROWN INC.	CRD# 2525	NEW YORK, NY
B	09/01/1997 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	03/01/1993 - 09/01/1997	ALEX. BROWN & SONS INCORPORATED	CRD# 20	
B	07/18/1989 - 03/16/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

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
09/2016 - Present	Snowden Lane Partners	Managing Director	Y	Baltimore, MD, United States
08/2011 - 09/2016	JP MORGAN SECURITIES LLC	VICE PRESIDENT	Y	CHICAGO, IL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2011 - 09/2016	JPMORGAN CHASE BANK NA	VICE PRESIDENT	Y	CHICAGO, IL, 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)SNOWDEN CAPITAL ADVISORS LLC;INVESTMENT RELATED;540 MADISON AVE,9TH FLOOR,NEW YORK,NY 10022;INVESTMENT ADVISOR;09/2016;120 HRS/MONTH;100 HRS DURING TRADING

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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	Client alleged CVR investment was not suitable. Activity dates 10/1/2013 to 3/15/2017.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination alleged damages will be over $5000.00.
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:	03/21/2017
Complaint Pending?	No
Status:	Settled
Status Date:	07/28/2017
Settlement Amount:	$9,998.46

Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	J.P. Morgan Securities LLC reports: Client alleged CVR investment was not suitable. Activity dates 10/1/2013 to 3/15/2017.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	J.P. Morgan Securities LLC has reportedly "made a good faith determination alleged damages will be over $5000.00."
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:	03/21/2017
Complaint Pending?	No
Status:	Denied
Status Date:	06/01/2017
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	I have not been provided a copy of the "complaint" or any other information to make an independent assessment.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	Client alleged CVR investment was not suitable. Activity dates 10/1/2013 to 3/15/2017.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination alleged damages will be over $5000.00.
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:	03/21/2017
Complaint Pending?	No
Status:	Settled
Status Date:	07/28/2017
Settlement Amount:	$14,533.87
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	J.P. Morgan Securities LLC reports: Client alleged CVR investment was not suitable. Activity dates 10/1/2013 to 3/15/2017.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	J.P. Morgan Securities LLC reportedly "made a good faith determination alleged damages will be over $5000.00."
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:	03/21/2017
Complaint Pending?	No
Status:	Denied
Status Date:	06/01/2017
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	I have not been provided a copy of the "complaint" or any other information to make an independent assessment.

Disclosure 3 of 4

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: MARCH 2007 - MARCH 2008.CLAIMANTS ALLEGE MISREPRESENTATIONS AND OMMISSIONS IN CONNECTION WITH THE SALE OF STRUCTURED PRODUCTS.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	$1-3 MILLION
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 #:	13-00725
Filing date of arbitration/CFTC reparation or civil litigation:	03/20/2013

Customer Complaint Information

Date Complaint Received:	03/20/2013
Complaint Pending?	No
Status:	Settled
Status Date:	04/17/2014
Settlement Amount:	$436,925.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGE MISREPRESENTATIONS AND OMMISSIONS IN CONNECTION WITH THE SALE OF STRUCTURED PRODUCTS FROM MARCH 2007 - MARCH 2008.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	$1-3 MILLION
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 #:	13-00725
Filing date of arbitration/CFTC reparation or civil litigation:	03/20/2013

Customer Complaint Information

Date Complaint Received:	03/20/2013
Complaint Pending?	No
Status:	Settled
Status Date:	04/17/2014
Settlement Amount:	$436,925.00
Individual Contribution Amount:	$0.00
Broker Statement	THE SETTLEMENT WAS PAID TO A GROUP OF CLIENTS WITH ONE COMMON INVESTMENT, LEHMAN STRUCTURED NOTES. THE CLIENTS SOUGHT DAMAGES FROM UBS DUE TO PRODUCT FAILURE, AND I WAS NOT NAMED AS A RESPONDENT IN THIS CASE. I WAS NOT ASKED TO TESTIFY NOR WAS I ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THE CASE.

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: FEB. 1, 2008 - FEB. 28, 2011 CLAIMANT ALLEGES THAT LEHMAN NOTES WERE MISREPRESENTED AS SAFE AND GUARANTEED.
Product Type:	Other: LEHMAN NOTES
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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 #:	11-02000

Filing date of arbitration/CFTC reparation or civil litigation:	05/31/2011

Customer Complaint Information

Date Complaint Received:	05/31/2011
Complaint Pending?	No
Status:	Settled
Status Date:	02/11/2013
Settlement Amount:	$54,700.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: FEB. 1, 2008 - FEB. 28, 2011 CLAIMANT ALLEGES THAT LEHMAN NOTES WERE MISREPRESENTED AS SAFE AND GUARANTEED.
Product Type:	Other: LEHMAN NOTES
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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 #:	11-02000
Filing date of arbitration/CFTC reparation or civil litigation:	05/31/2011

Customer Complaint Information

Date Complaint Received:	05/31/2011
Complaint Pending?	No
Status:	Settled
Status Date:	02/11/2013
Settlement Amount:	$54,700.00
Individual Contribution Amount:	$0.00

Broker Statement	I WAS NOT NAMED AS A RESPONDENT IN THIS CASE. THE CLIENT, AN ACCOUNTANT, REQUESTED A PROPOSAL FOR A PORTION OF HER INVESTMENT ASSETS. I DISCUSSED HER FINANCIAL SITUATION AND NEEDS AND AFTER CAREFULLY REVIEWING HER INVESTMENT OBJECTIVES, I MADE VARIOUS INVESTMENT RECOMMENDATIONS. I FULLY DISCUSSED AND EXPLAINED EACH PROPOSED INVESTMENT WITH THE CLIENT. AFTER TAKING SOME TIME TO REVIEW THE PROPOSED PORTFOLIO, THE CLIENT DECIDED TO GO FORWARD WITH MY RECOMMENDATIONS. A PORTION OF THE PORTFOLIO CONSISTED OF PARTIALLY PROTECTED STRUCTURED NOTES BACKED BY LEHMAN BROTHERS. REGRETTABLY, THE VALUE OF THESE NOTES WAS SIGNIFICANTLY DIMINISHED AS A RESULT OF THE 2008 FINANCIAL CRISIS AND LEHMAN'S ENSUING BANKRUPTCY. I WAS READY AND WILLING TO DEFEND MY SALES PRACTICES IN ARBITRATION, BUT UBS CHOSE TO SETTLE THE CASE STRICTLY TO AVOID THE UNCERTAINTIES AND POTENTIAL COST OF THE ARBITRATION PROCESS. I DID NOT CONTRIBUTE ANY AMOUNT TOWARD UBS'S SETTLEMENT OF THIS CASE, NOR WAS I ASKED TO.

End of Report

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