



IAPD Report

ROY CHARLES WOEHMAN

CRD# 2564754

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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

ROY CHARLES WOEHMAN (CRD# 2564754)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/01/2005
IA	LPL FINANCIAL LLC	CRD# 6413	03/01/2005

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	WACHOVIA SECURITIES, LLC	19616	ANAHEIM, CA	05/14/2003 - 03/01/2005
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	11/02/1999 - 03/01/2005
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	03/15/1995 - 11/08/1999

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
Regulatory Event	1
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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/01/2005
B	FINRA	General Securities Principal	Approved	07/01/2005
B	Arizona	Agent	Approved	03/01/2005
B	California	Agent	Approved	03/01/2005
IA	California	Investment Adviser Representative	Approved	03/01/2005
B	Hawaii	Agent	Approved	03/04/2005
B	Idaho	Agent	Approved	01/05/2007
B	Nevada	Agent	Approved	01/06/2012
B	New Mexico	Agent	Approved	02/24/2014
B	North Carolina	Agent	Approved	02/28/2017
B	Ohio	Agent	Approved	03/01/2005
B	Oregon	Agent	Approved	03/01/2005
B	Tennessee	Agent	Approved	08/07/2020



Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	08/17/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	08/30/2011
B	Utah	Agent	Approved	09/08/2021
B	Washington	Agent	Approved	01/05/2007

Branch Office Locations

LPL FINANCIAL LLC
LONG BEACH, CA

LPL FINANCIAL LLC
OCEANSIDE, CA



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/30/2005

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/10/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/03/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/1995

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
IA	05/14/2003 - 03/01/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	ANAHEIM, CA
B	11/02/1999 - 03/01/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	03/15/1995 - 11/08/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
03/2005 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LONG BEACH, CA, 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.

- 07/21/2015: NO BUSINESS NAME - INV REL - 5432 L. HONOAPIILANI RD. #2 LAHINA HI 96761 - REAL ESTATE RENTAL - START 07/31/2015 - 5 HR/MO NONE DURING SECS TRDG HRS - PROPERTY CO-OWNER.
- 7/20/2017 - Legacy Retirement Planning Inc - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 2007.
- 03/18/2019 - DENIS LEECH MULLEN AND Diana Mullen - Not investment related - 16 Ginger Place Lahina Hawaii - Act in a Fiduciary Capacity - start date:01/01/2008 - 0 hrs/mo - 0 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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 07/20/2017

Docket/Case Number: 2014041853701

Employing firm when activity occurred which led to the regulatory action: LPL Financial LLC

Product Type: Other: alternative investments

Allegations: Without admitting or denying the findings, Woehrman consented to the sanctions and to the entry of findings that he shared \$38,500 in commissions that his member firm paid him with an unregistered person that were generated by securities transactions resulting from referrals by the unregistered person. The findings stated that Woehrman and the unregistered person, who operated a retirement planning and investment management business, entered into a referral/lead marketing agreement under which the unregistered person would refer individuals interested in purchasing alternative investments to Woehrman. Under the terms of the agreement, the funds paid to the unregistered person were to be used for marketing expenses. In addition, Woehrman submitted a written questionnaire to his firm in which he inaccurately represented that he was not involved in any referral arrangement.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

07/20/2017

Sanctions Ordered:

Censure
Civil and Administrative Penalty(ies)/Fine(s)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$12,500.00

Portion Levied against individual: \$12,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 08/18/2017

Was any portion of penalty waived? No

Amount Waived:

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 07/05/2017

Docket/Case Number: FINRA No. 2014041853701

Employing firm when activity occurred which led to the regulatory action: LPL Financial LLC

Product Type: No Product

Allegations: During the period of January 2013 to June 2014, Representative shared commissions that his firm paid him with an unregistered person. In September 2013, representative submitted a written questionnaire to LPL Financial in which he inaccurately represented he was not involved in any referral arrangement.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/05/2017
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$12,500.00
Portion Levied against individual:	\$12,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/30/2017
Was any portion of penalty waived?	No
Amount Waived:	



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: WACHOVIA SECURITIES, LLC.

Allegations: A CALIFORNIA RESIDENT COMPLAINED, STATING THAT HE RECALLED HIS FINANCIAL ADVISOR CONTACTING HIM AND DISCUSSING MUTUAL FUND INVESTMENTS WITH HIM; HOWEVER, THE CLIENT STATED THAT HE WAS UNDER MEDICAL TREATMENT DURING THAT PERIOD OF TIME AND DID NOT RECALL AUTHORIZING MUTUAL FUND TRANSACTIONS EXECUTED IN THE ACCOUNT BETWEEN NOVEMBER 2000 AND MAY 24, 2001. AS OF THE COMPLAINT FILING DATE, THE MUTUAL FUNDS THAT WERE IN DISPUTE REFLECTED LOSSES OF \$16,203.73.

Product Type: Mutual Fund(s)

Alleged Damages: \$16,203.73

Customer Complaint Information

Date Complaint Received: 10/28/2003

Complaint Pending? No

Status: Denied

Status Date: 12/05/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED BY THE FIRM. BASED UPON ITS REVIEW OF THE MATTER, THE FIRM CONCLUDED THAT THE TRANSACTIONS IN THE CLIENT'S ACCOUNTS WERE APPROPRIATELY AUTHORIZED BY THE CLIENT, AND THE ACCOUNTS WERE OTHERWISE HANDLED APPROPRIATELY BY THE FINANCIAL ADVISOR. THE FIRM INFORMED THE CLIENT THAT THE COMMISSION DISCOUNTS GRANTED FOR HIS EQUITY AND OPTION TRANSACTIONS DID NOT APPLY TO MUTUAL FUND TRANSACTIONS AND INDEED COULD NOT BE APPLIED TO MUTUAL FUND TRANSACTIONS BASED UPON THE PROSPECTUS DISCLOSED MUTUAL FUND COMPANY RESTRICTIONS, WHICH PROHIBIT THE FIRM FROM DISCOUNTING MUTUAL FUND TRADES IN THE MANNER REQUESTED BY THE CLIENT.



End of Report

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