



IAPD Report

SCOTT DARREN FESSLER

CRD# 2689471

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

SCOTT DARREN FESSLER (CRD# 2689471)

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 **02/28/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WOODSTOCK WEALTH MANAGEMENT, INC.	CRD# 283472	08/01/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	ST. BERNARD FINANCIAL SERVICES, INC.	36956	RUSSELLVILLE, AR	06/04/2020 - 12/31/2021
B	WOODSTOCK FINANCIAL GROUP, INC.	38095	HEWLETT, NY	05/25/2001 - 12/12/2019
B	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL	12/20/1999 - 05/29/2001

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
Termination	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 **3** 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
	Florida	Investment Adviser Representative	Approved	07/28/2023
	New York	Investment Adviser Representative	Approved	11/16/2021
	Texas	Investment Adviser Representative	Restricted Approval	12/09/2019

Branch Office Locations

WOODSTOCK WEALTH MANAGEMENT, INC.
97 Main Street
East Rocaway, NY 11518



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	04/01/2002
Registered Options Principal Examination (S4)	Series 4	01/29/2002

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/21/1995

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/15/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	12/28/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/04/2020 - 12/31/2021	ST. BERNARD FINANCIAL SERVICES, INC.	CRD# 36956	RUSSELLVILLE, AR
B	05/25/2001 - 12/12/2019	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	HEWLETT, NY
B	12/20/1999 - 05/29/2001	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	08/24/1999 - 12/20/1999	FIRST LIBERTY INVESTMENT GROUP, INC.	CRD# 3536	PHILADELPHIA, PA
B	10/08/1997 - 08/17/1999	CARNEGIE INVESTOR SERVICES INC.	CRD# 8295	NEW YORK, NY
B	04/02/1996 - 12/18/1997	MEYERS POLLOCK ROBBINS, INC.	CRD# 13436	NEW YORK, NY
B	02/16/1996 - 04/10/1996	ROYCE INVESTMENT GROUP, INC.	CRD# 10494	WOODBURY, 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
08/2018 - Present	Woodstock Wealth Management	Investment Advisor Representative	Y	Atlanta, GA, United States
06/2020 - 12/2021	St Bernard Financial Services, Inc.	Registered Representative	Y	Russellville, AR, United States
05/2001 - 12/2019	Woodstock Financial Group, Inc.	REGISTERED REPRESENTATIVE	Y	FAR ROCKAWAY, NY, 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. FESSLER FINANCIAL, Inc.; INVESTMENT RELATED; 97 MAIN STREET, EAST ROCKAWAY, NY 11518; DBA for relationship with Woodstock Wealth Management, Inc. , Buy and Sell Real Estate and Private Short Term Real Estate Financing; OWNER; STARTED 06/2004; DEVOTES APPROXIMATE 5-10 HOURS A MONTH of WHICH 2 ARE DURING TRADING HOURS; operate branch office for Woodstock Wealth Management, Inc., Buy and Sell Real Estate and Private Short Term Real Estate Financing
- 2.LIGHTNING FUNDING INC (S-CORP); NOT INVESTMENT RELATED; 97 Main Street, East Rockaway, NY 11518; Mortgage LOAN ORIGATION; OWNER; STARTED 03/2003; DEVOTES APPROXIMATE 20 HOURS A MONTH WHICH 1 TO 2 ARE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DURING TRADING HOURS; DUTIES INCLUDE Mortgage LOAN ORIGINATING

3. ALGREN ASSOCIATES; INVESTMENT RELATED; 450 LEXINGTON AVE, 4TH FLOOR, NEW YORK, NY 10017; Life Insurance; BROKER; STARTED 02/2004; DEVOTES APPROXIMATE 3 TO 5 HOURS A MONTH WHICH NONE ARE DURING TRADING HOURS; TAKE LIFE INSURANCE APPLICATIONS

4. Dennis Miller Insurance 60 West Park Ave, Long Beach, NY 11561; Sell P&C Insurance; Independent Contractor; Started 4/2020; Devotes approximately 5 hours a month which none are during trading hours; sell P&C insurance

5. Second Solar Sunrise; Not Investment Related; 7620 Rivers Ave, Suite 370-337, North Charleston, SC 29406; Energy Adviser; Stared 12/2022; DEVOTES APPROXIMATE 2 HOURS A MONTH WHICH NONE ARE DURING TRADING HOURS; Offers Solar Energy Solutions



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
Termination	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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Restitution
Date Initiated:	05/02/2001
Docket/Case Number:	C10010055
Employing firm when activity occurred which led to the regulatory action:	MEYERS, POLLOCK, ROBBINS, INC.
Product Type:	Equity-OTC
Allegations:	05-07-01, NASD RULE 2110, IM-2310-2(B)(4)(III) - RESPONDENT SOLD SHARES OF STOCK FROM THE ACCOUNT OF A PUBLIC CUSTOMER, WITHOUT THE CUSTOMER'S KNOWLEDGE AND CONSENT, AND USED THE PROCEEDS TO PURCHASE OTHER SHARES OF STOCK, WITHOUT THE CUSTOMER'S KNOWLEDGE AND CONSENT.
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: 05/02/2001

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Suspension

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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 days
Start Date:	06/04/2001
End Date:	06/18/2001

Monetary Sanction 1 of 2

Monetary Related Sanction:	Restitution
Total Amount:	\$5,117.91
Portion Levied against individual:	\$5,117.91

Payment Plan:

Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00

Payment Plan:

Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement**

5-07-01, FINED \$7,500, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 15 DAYS, AND ORDERED TO PAY \$5,117.91 IN RESTITUTION TO A PUBLIC CUSTOMER. SATISFACTORY PROOF OF PAYMENT OF THE RESTITUTION OR DOCUMENTED EFFORTS UNDERTAKEN TO EFFECT RESTITUTION SHALL BE PROVIDED TO THE NASDR NO LATER THAN 120 DAYS AFTER ACCEPTANCE OF THIS AWC. IF A PUBLIC CUSTOMER CANNOT BE LOCATED, ANY UNDISTRIBUTED RESTITUTION AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER IS LAST KNOWN TO HAVE RESIDED. SUSPENSION EFFECTIVE JUNE 4, 2001 TO CLOSE OF BUSINESS JUNE 18, 2001.

.....

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE, RESTITUTION

Date Initiated: 01/24/2000

Docket/Case Number: C10010055

Employing firm when activity occurred which led to the regulatory action: MEYERS, POLLOCK, ROBBINS, INC.

Product Type: Equity - OTC

Other Product Type(s):

Allegations: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IN JULY OF 1997, MR. FESSLER SOLD SHARES OF TWO DIFFERENT STOCKS FROM A CLIENT'S ACCOUNT ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT. SUBSEQUENTLY, MR. FESSLER BOUGHT SHARES OF TWO DIFFERENT STOCKS, ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/02/2001

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: FINE OF \$7500. SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER FOR 15 DAYS, BEGINNING 6/4/01 THROUGH 6/18/01. RESTITUTION TO CUSTOMER IN THE AMOUNT OF \$5117.91.



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 1

Reporting Source:	Individual
Firm Name:	NATIONAL SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	06/01/2000
Allegations:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IN JULY OF 1997, MR. FESSLER SOLD SHARES OF TWO DIFFERENT STOCKS FROM A CLIENT'S ACCOUNT ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT. SUBSEQUENTLY, MR. FESSLER BOUGHT SHARES OF TWO DIFFERENT STOCKS, ALLEGEDLY WITHOUT CLIENT'S KNOWLEDGE OR CONSENT.
Product Type:	Equity - OTC
Other Product Types:	
Broker Statement	I ACKNOWLEDGE I WAS THE SUBJECT OF A REGULATORY INVESTIGATION WHICH RESULTED IN THE ACCEPTANCE OF AN AWC. THE UNDERLYING FACTS CONCERNING THE INVESTIGATION WERE FULLY DISCLOSED TO MY PRIOR EMPLOYERS AND TO NATIONAL SECURITIES, ON THE FORM U-4 PREPARED BY MY PRIOR EMPLOYERS, INCLUDING THE FIRM WHICH RECEIVED THE LETTER OF COMPLAINT FROM THE CUSTOMER, MY EMPLOYERS DID NOT DISCLOSE THAT COMPLAINT. BASED ON THE COMMUNICATIONS I RECEIVED FROM MY PRIOR EMPLOYERS AND MY OWN MISUNDERSTANDING OF THE FORM U-4, I SIGNED THE U-4. THE ONLY INFORMATION THAT I DID NOT DISCLOSE TO NATIONAL SECURITIES, ON THE ADVICE OF MY COUNSEL, WAS THE SPECIFIC TERMS OF THE AWC WHICH, AT THE TIME, WERE NOT FINAL AND WERE STILL BEING NEGOTIATED WITH THE NASD. ALSO, I RESIGNED BEFORE I WAS ASKED TO RESIGN.



End of Report

This page is intentionally left blank.