



IAPD Report

ERIC ALLEN WOOD

CRD# 3079104

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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

ERIC ALLEN WOOD (CRD# 3079104)

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 **09/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	09/25/2009
IA	HUNTLEIGH ADVISORS, INC.	CRD# 113412	09/25/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	DATATEX INVESTMENT SERVICES INC	105440	CLAYTON, MO	03/23/2010 - 03/28/2023
B	K. W. CHAMBERS & CO.	1432	CLAYTON, MO	03/23/2010 - 12/03/2021
IA	AXA ADVISORS, LLC	6627	CLAYTON, MO	08/14/2002 - 10/05/2009

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	4
Criminal	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 **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**

Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Firm ID#: 113412

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	04/17/2025
IA	Arizona	Investment Adviser Representative	Approved	06/17/2020
IA	Arkansas	Investment Adviser Representative	Approved	03/13/2025
IA	California	Investment Adviser Representative	Approved	10/08/2025
IA	Colorado	Investment Adviser Representative	Approved	05/25/2022
IA	Florida	Investment Adviser Representative	Approved	11/17/2020
IA	Massachusetts	Investment Adviser Representative	Approved	07/24/2019
IA	Michigan	Investment Adviser Representative	Approved	04/18/2024
IA	Missouri	Investment Adviser Representative	Approved	09/25/2009
IA	Pennsylvania	Investment Adviser Representative	Approved	04/25/2019
IA	South Carolina	Investment Adviser Representative	Approved	05/09/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	04/25/2019
IA	Washington	Investment Adviser Representative	Approved	01/11/2024



Qualifications

Regulator	Registration	Status	Date
IA West Virginia	Investment Adviser Representative	Approved	03/10/2023
IA Wisconsin	Investment Adviser Representative	Approved	05/30/2023

Branch Office Locations

HUNTLEIGH ADVISORS, INC.

7800 FORSYTH BLVD.

5TH FLOOR

ST. LOUIS, MO 63105

Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**

Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Firm ID#: 7456

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/25/2009
B FINRA	Invest. Co and Variable Contracts	Approved	09/25/2009
B Alabama	Agent	Approved	10/20/2010
B Arizona	Agent	Approved	09/25/2009
B Arkansas	Agent	Approved	01/14/2011
B California	Agent	Approved	08/03/2010
B Colorado	Agent	Approved	09/25/2009
B District of Columbia	Agent	Approved	02/03/2015
B Florida	Agent	Approved	09/23/2010
B Georgia	Agent	Approved	02/19/2010



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	09/25/2009
B	Indiana	Agent	Approved	09/25/2009
B	Iowa	Agent	Approved	07/21/2015
B	Kansas	Agent	Approved	01/13/2011
B	Louisiana	Agent	Approved	08/20/2010
B	Maryland	Agent	Approved	12/03/2021
B	Massachusetts	Agent	Approved	02/27/2019
B	Michigan	Agent	Approved	10/26/2023
B	Mississippi	Agent	Approved	02/13/2015
B	Missouri	Agent	Approved	09/25/2009
B	Nebraska	Agent	Approved	03/06/2023
B	Nevada	Agent	Approved	06/13/2023
B	New Jersey	Agent	Approved	11/10/2011
B	New Mexico	Agent	Approved	06/04/2021
B	New York	Agent	Approved	08/18/2016
B	North Carolina	Agent	Approved	03/13/2015
B	Oklahoma	Agent	Approved	03/09/2012
B	Oregon	Agent	Approved	05/27/2011
B	Pennsylvania	Agent	Approved	02/19/2010



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	03/02/2015
B	Tennessee	Agent	Approved	03/19/2018
B	Texas	Agent	Approved	09/25/2009
B	Washington	Agent	Approved	09/17/2019
B	West Virginia	Agent	Approved	11/29/2021
B	Wisconsin	Agent	Approved	06/18/2025

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/08/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/23/2001
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/12/1999



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	03/23/2010 - 03/28/2023	DATATEX INVESTMENT SERVICES INC	CRD# 105440	CLAYTON, MO
B	03/23/2010 - 12/03/2021	K. W. CHAMBERS & CO.	CRD# 1432	CLAYTON, MO
IA	08/14/2002 - 10/05/2009	AXA ADVISORS, LLC	CRD# 6627	CLAYTON, MO
B	04/19/2002 - 10/05/2009	AXA ADVISORS, LLC	CRD# 6627	CLAYTON, MO
B	01/01/2002 - 04/30/2002	MANULIFE FINANCIAL SECURITIES LLC	CRD# 5249	BOSTON, MA
B	02/01/2001 - 01/01/2002	MANULIFE WOOD LOGAN, INC.	CRD# 19177	STAMFORD, CT

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
09/2009 - Present	HUNTLEIGH SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	ST. LOUIS, MO, 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) OUTSIDE INSURANCE BUSINESS, INCLUDING LIFE INSURANCE AND FIXED ANNUITIES SOLD THROUGH K.W. CHAMBERS & CO., ST. LOUIS, MO; NOT SECURITIES-RELATED; TIME: 2-5 HOURS PER MONTH
- 2) DOMUS SOLIS, ISLE OF CAPRI, FL; REAL ESTATE; NOT SECURITIES-RELATED; PART OWNER; TIME 12-15 HOURS PER YEAR; 3) WOOD FINANCIAL PARTNERS - DBA UNDER WHICH THE RR CONDUCTS BUSINESS



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	4
Criminal	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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	Louisiana Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/17/2022
Docket/Case Number:	License # 791055
Employing firm when activity occurred which led to the regulatory action:	Huntleigh Securities Corporation
Product Type:	Insurance
Allegations:	Failure to timely report and disclose an administrative action from another state. The action which was not reported occurred in September 2020, and was reported in August of 2022.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/13/2022



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

Monetary Sanction 1 of 1

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

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 09/13/2022

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: New York State Department of Financial Services

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

Date Initiated: 09/28/2020

Docket/Case Number: Stipulation No. 2020-0295-S

Employing firm when activity occurred which led to the regulatory action: Huntleigh Securities Corporation

Product Type: Insurance

Allegations: Providing materially incorrect information on application for insurance license with the State of New York, by failing to disclose previous disclosure items on his record.

Current Status: Final

Resolution: Stipulation and Consent

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

Resolution Date: 10/23/2020

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

Monetary Sanction 1 of 1

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

Total Amount: \$2,250.00



Portion Levied against individual: \$2,250.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 09/28/2020

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Mr. Wood agreed to a stipulation with the State of New York Department of Financial Services, whereby he paid a \$2,250 fine for failing to report a 1997 misdemeanor conviction, and California and Georgia insurance department actions on his application for a New York insurance license. He made this application on his own and was under the mistaken impression that documents/events previously uploaded into the NIPR system were linked to his producer number, and automatically disclosed to New York. Because the events in question are so dated, he thought that he only needed to provide information on any disclosure events that would have occurred since the last NIPR system update.

Disclosure 3 of 4

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF CALIFORNIA - DEPARTMENT OF INSURANCE

Sanction(s) Sought: Denial
Other: RESTRICTED LICENSE

Date Initiated: 01/09/2002

Docket/Case Number: FILE NO. LBB 0222-AP (AR)

Employing firm when activity occurred which led to the regulatory action: MANULIFE FINANCIAL SECURITIES, LLC

Product Type: Insurance

Allegations: STATE OF CALIFORNIA ISSUED RR A RESTRICTED INSURANCE LICENSE DUE TO A CONVICTION UPON GUILTY PLEA OF A MISDEMEANOR IN 1997.

Current Status: Final

Resolution: Order

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

Resolution Date: 02/04/2002

Sanctions Ordered: Denial
Other: DENIAL OF AN UNRESTRICTED LICENSE. A RESTRICTED LICENSE WAS ISSUED.

**Disclosure 4 of 4**

Reporting Source:	Individual
Regulatory Action Initiated By:	OFFICE OF COMMISSIONER OF INSURANCE - STATE OF GEORGIA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: CONSENT ORDER
Date Initiated:	11/04/2005
Docket/Case Number:	2005-1129
Employing firm when activity occurred which led to the regulatory action:	AXA ADVISORS, LLC.
Product Type:	Insurance
Allegations:	THE STATE OF GEORGIA REFUSED THE AGENT'S APPLICATION FOR A LICENSE TO TRANSACT BUSINESS DUE TO (1) PRIOR DISCIPLINARY ACTION TAKEN AGAINST THE AGENT BY THE CALIFORNIA DEPARTMENT OF INSURANCE (2) THE AGENT HAVING BEEN CONVICTED OF A CRIME AND (3) MISREPRESENTATION OF A MATERIAL FACT ON AN APPLICATION/FORM FOR A LICENSE WITH THE STATE OF GEORGIA.
Current Status:	Final
Resolution:	Consent
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:	11/16/2005
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: CONSENT ORDER AND \$300 FINE
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$300.00
Portion Levied against individual:	\$300.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	11/16/2005
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	RR WAS ISSUED A RESTRICTED INSURANCE LICENSE IN CALIFORNIA DUE TO A 1997 MISDEMEANOR. RR DID NOT REALIZE THAT THE RESTRICTED LICENSE WAS AN OFFICIAL ORDER & DID NOT REPORT THE RESTRICTION TO GEORGIA. GA CONSIDERED THIS AN OMISSION. UPON AGREEMENT



TO THE CONSENT ORDER AND PAYMENT OF THE FINE, GEORGIA DID
ISSUE AN INSURANCE LICENSE TO THE RR.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CIRCUIT COURT OF ST LOUIS COUNTY 93045063
Charge Date:	03/29/1997
Charge Details:	COUNTS 1 & 2 RECEIVING STOLEN PROPERTY A CLASS A MISDEMEANOR COMMITTED ON MARCH 29, 1997
Felony?	No
Current Status:	Final
Status Date:	06/12/1997
Disposition Details:	2 COUNTS OF MISDEMEANOR RECEIVING STOLEN PROPERTY, 40 HRS COMMUNITY SERVICE, 2 YEARS PROBATION, \$10 PD TO THE STATE
Broker Statement	I WAS AT A PARTY MY FRESHMAN YR IN COLLEGE. MY FRIENDS UNKNOWN TO ME, STOLE 2 MAIL BOXES. I FOUND OUT WHEN I HEARD THE MAIL BOXES HIT MY TRUCK BED. I TOLD MY FRIENDS TO GET THEM OUT, THEY SAID SOMEONE SAW THEM. I PANICKED AND SPED AWAY, LATER RUNNING MY TRUCK OFF THE ROAD. I WAS LATER ARRESTED FOR RECEIVING STOLEN PROPERTY.



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: HUNTLEIGH SECURITIES CORPORATION

Allegations: Clients emailed a complaint related to the October 2023 opening of a priority credit line (PCL) used to temporarily fund the purchase of a new home, using securities from their other accounts as collateral. Clients allege it was not explained to them that the credit line would accrue interest, and asked to have the management fees and PCL interest returned or reimbursed to them.

Product Type: Other: credit line

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The customer did not specify any damages, but sought reimbursement for management fees and interest related to a priority credit line (PCL).

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: 01/23/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



End of Report

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