



## IAPD Report

# BARRY P TOOLE

CRD# 3142901

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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

### BARRY P TOOLE (CRD# 3142901)

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 **12/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WORLD INVESTMENT ADVISORS, LLC	CRD# 208512	03/07/2016
B	WORLD INVESTMENTS, LLC	CRD# 20626	08/07/2024

### QUALIFICATIONS

This representative is currently registered in **1** 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	PENSIONMARK SECURITIES, LLC	283952	SANTA BARBARA, CA	12/11/2025 - 01/06/2026
B	PENSIONMARK SECURITIES, LLC	283952	Tarpon Springs, FL	05/31/2017 - 10/31/2025
B	CAPFINANCIAL SECURITIES, LLC.	126291	Tampa, FL	03/07/2016 - 12/31/2017

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
Termination	2



## 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 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **WORLD INVESTMENTS, LLC**  
Main Address: 437 NEWMAN SPRINGS ROAD  
LINCROFT, NJ 07738  
Firm ID#: 20626

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	08/07/2024
	FINRA	General Securities Representative	Approved	08/07/2024
	FINRA	Municipal Securities Principal	Approved	08/07/2024
	FINRA	Municipal Securities Representative	Approved	08/07/2024
	FINRA	Operations Professional	Approved	08/07/2024
	FINRA	Registered Options Principal	Approved	08/07/2024
	FINRA	Securities Trader	Approved	08/07/2024
	Florida	Agent	Approved	10/04/2024
	Montana	Agent	Approved	08/07/2024
	New Hampshire	Agent	Approved	08/07/2024
	South Dakota	Agent	Approved	08/07/2024
	Wyoming	Agent	Approved	10/31/2025

### Branch Office Locations



## Qualifications

### WORLD ADVISORY SERVICES

Tarpon Springs, FL

### WORLD ADVISORY SERVICES

Tarpon Springs, FL

### WORLD ADVISORY SERVICES

Tarpon Springs, FL

### Employment 2 of 2

Firm Name: **WORLD INVESTMENT ADVISORS, LLC**

Main Address: 24 E. COTA STREET  
SUITE 200  
SANTA BARBARA, CA 93101

Firm ID#: 208512

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	03/07/2016
IA	Florida	Investment Adviser Representative	Approved	04/07/2016

### Branch Office Locations

### WORLD INVESTMENT ADVISORS, LLC

Tarpon Springs, FL



## 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 3 principal/supervisory exams, 9 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	02/24/2004
B	General Securities Principal Examination (S24)	Series 24	01/11/2002
B	Registered Options Principal Examination (S4)	Series 4	03/02/2001

#### General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	06/09/2023
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	12/21/2009
B	Research Analyst Exam - Part II Regulations Module (S87)	Series 87	05/25/2004
B	Futures Managed Funds Examination (S31)	Series 31	05/20/2004
B	Limited Representative-Equity Trader Exam (S55)	Series 55	10/06/2000
B	General Securities Representative Examination (S7)	Series 7	12/01/1998
B	Municipal Securities Representative Examination (S52)	Series 52	10/29/1998



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date	
IA	B	Uniform Combined State Law Examination (S66)	Series 66	12/05/2005
	IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/2001
	B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/04/1998

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
B	12/11/2025 - 01/06/2026	PENSIONMARK SECURITIES, LLC	CRD# 283952	SANTA BARBARA, CA
B	05/31/2017 - 10/31/2025	PENSIONMARK SECURITIES, LLC	CRD# 283952	Tarpon Springs, FL
B	03/07/2016 - 12/31/2017	CAPFINANCIAL SECURITIES, LLC.	CRD# 126291	Tampa, FL
B	10/18/2013 - 10/27/2016	J.W. COLE FINANCIAL, INC.	CRD# 124583	TAMPA, FL
IA	01/07/2014 - 03/14/2016	J. W. COLE ADVISORS, INC.	CRD# 112294	TAMPA, FL
IA	03/09/2011 - 12/11/2012	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	TAMPA, FL
B	05/09/2008 - 11/26/2012	LPL FINANCIAL LLC	CRD# 6413	TAMPA, FL
IA	05/20/2008 - 12/13/2010	LPL FINANCIAL CORPORATION	CRD# 6413	TAMPA, FL
IA	09/06/2006 - 11/16/2007	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	08/29/2006 - 11/16/2007	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	01/09/2006 - 08/29/2006	SIGNAL SECURITIES, INC.	CRD# 15916	FORT WORTH, TX
IA	01/09/2006 - 08/29/2006	SIGNAL SECURITIES, INC.	CRD# 15916	FORT WORTH, TX
IA	12/07/2005 - 01/03/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	08/30/2005 - 01/03/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	07/27/2004 - 08/22/2005	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	06/17/2003 - 07/27/2004	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL





## 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	04/09/2002 - 06/18/2003	SIGNAL SECURITIES, INC.	CRD# 15916	FORT WORTH, TX
B	09/07/2001 - 04/18/2002	E*TRADE SECURITIES, INCORPORATED	CRD# 29106	JERSEY CITY, NJ
B	06/06/2000 - 08/28/2001	SWS SECURITIES INC.	CRD# 6220	DALLAS, TX
B	04/11/2000 - 04/18/2000	1 800DAYTRADE.COM, INC.	CRD# 44420	RICHARDSON, TX
B	05/28/1999 - 03/21/2000	AMERITRADE	CRD# 36559	BELLEVUE, NE
B	12/14/1998 - 03/22/1999	1 800DAYTRADE.COM, INC.	CRD# 44420	RICHARDSON, TX
B	10/30/1998 - 12/18/1998	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

### 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
08/2024 - Present	WORLD INVESTMENTS, INC	RR/COMPLIANCE	Y	LINCROFT, NJ, United States
03/2017 - Present	PFG Securities LLC	Registered Representative	Y	Santa Barbara, CA, United States
03/2016 - Present	PENSIONMARK FINANCIAL GROUP, LLC	Investment Adviser	Y	Santa Barbara, CA, United States
03/2016 - 03/2017	CapFinancial Securities, LLC	Registered Representative	Y	Raleigh, NC, United States
10/2013 - 09/2016	J.W. COLE FINANCIAL	BROKERAGE SERVICES ASSOCIATE	Y	TAMPA, FL, United States
10/2013 - 03/2016	J.W. COLE ADVISORS, INC.	BROKERAGE ASSOCIATE	Y	TAMPA, FL, United States



## Registration & Employment History



### 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. Happy Hooker Brands; Non-Investment Related; Tarpon Springs, FL; Happy Hooker Brands, LLC is a novelty gift company that specializes in custom-printed T-shirts, coozies, tackle, and barware that will be sold in local gifshops. I will not raise outside money for this endeavor and will personally fund the activities of the company. No clients of the firm are involved; Managing member; 10 hours per month; 0 hours during trading hours; I will manage the day-to-day affairs of running the business to include: marketing, sales, product procurement, distribution, accounting, and other general matters related to ongoing operations.



## 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
Termination	2

**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 2**

**Reporting Source:** Firm  
**Firm Name:** INDEPENDENT FINANCIAL PARTNERS  
**Termination Type:** Discharged  
**Termination Date:** 11/14/2012  
**Allegations:** Terminated for directing a subordinate to create computer testing forms for production to a regulator while failing to assure the proper communication of the origin and date of creation of such forms prior to their production to the regulator.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** INDEPENDENT FINANCIAL PARTNERS  
**Termination Type:** Discharged  
**Termination Date:** 11/14/2012  
**Allegations:** TERMINATED FOR DIRECTING A SUBORDINATE TO CREATE COMPUTER TESTING FORMS FOR PRODUCTION TO A REGULATOR WHILE FAILING TO ASSURE THE PROPER COMMUNICATION OF THE ORIGIN AND DATE OF CREATION OF SUCH FORMS PRIOR TO THEIR PRODUCTION TO THE REGULATOR.  
**Product Type:** No Product  
**Broker Statement** I HAVE SETTLED MY ARBITRATION CLAIM FILED AGAINST LPL FINANCIAL ON OCTOBER 10, 2013 (SEE CASE 13-01863).

**Disclosure 2 of 2**



**Reporting Source:** Firm  
**Firm Name:** LPL FINANCIAL LLC  
**Termination Type:** Discharged  
**Termination Date:** 11/14/2012  
**Allegations:** Terminated for directing a subordinate to create computer testing forms for production to a regulator while failing to assure the proper communication of the origin and date of creation of such forms prior to their production to the regulator.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** LPL FINANCIAL  
**Termination Type:** Discharged  
**Termination Date:** 11/14/2012  
**Allegations:** TERMINATED FOR DIRECTING A SUBORDINATE TO CREATE COMPUTER TESTING FORMS FOR PRODUCTION TO A REGULATOR WHILE FAILING TO ASSURE THE PROPER COMMUNICATION OF THE ORIGIN AND DATE OF CREATION OF SUCH FORMS PRIOR TO THEIR PRODUCTION TO THE REGULATOR.  
**Product Type:** No Product  
**Broker Statement** I HAVE SETTLED MY ARBITRATION CLAIM FILED AGAINST LPL FINANCIAL ON OCTOBER 10, 2013 (SEE CASE 13-01863).



## End of Report

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