



## IAPD Report

### James Joshua Wood

CRD# 3223081

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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

### James Joshua Wood (CRD# 3223081)

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 **01/02/2026**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **0** 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	CAITLIN JOHN, LLC	154494	Fort Worth, TX	03/21/2025 - 12/05/2025
IA	CHARLES SCHWAB & CO., INC.	5393	Westlake, TX	01/26/2022 - 01/12/2024
IA	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	111514	Westlake, TX	12/24/2013 - 09/07/2023

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
Civil 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 0 jurisdiction(s) and 0 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **ROBINHOOD FINANCIAL, LLC**  
Main Address: 500 COLONIAL CENTER PARKWAY  
SUITE 100  
LAKE MARY, FL 32746  
Firm ID#: 165998

#### Branch Office Locations

Fort Worth, TX 1500 Solana Blvd  
Suite 5500  
Westlake, TX 76262



## 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, 0 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
No information reported.		

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/23/2013
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/04/1999

### 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
IA	03/21/2025 - 12/05/2025	CAITLIN JOHN, LLC	CRD# 154494	Fort Worth, TX
IA	01/26/2022 - 01/12/2024	CHARLES SCHWAB & CO., INC.	CRD# 5393	Westlake, TX
IA	12/24/2013 - 09/07/2023	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	CRD# 111514	Westlake, TX
IA	12/24/2013 - 10/14/2022	TD AMERITRADE, INC.	CRD# 7870	Westlake, TX
IA	10/23/2008 - 10/08/2012	ING FINANCIAL PARTNERS, INC	CRD# 2882	ARLINGTON, TX
IA	03/10/2004 - 09/18/2008	LPL FINANCIAL CORPORATION	CRD# 6413	CRYSTAL BAY, NV
IA	01/10/2003 - 03/10/2004	A. G. EDWARDS & SONS, INC.	CRD# 4	TRUCKEE, CA
IA	09/05/2002 - 11/04/2002	MORGAN STANLEY	CRD# 7556	RENO, NV

### 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
12/2025 - Present	Robinhood Markets, Inc.	Concierge Solutions Manager, Contractor	Y	Menlo Park, CA, United States
03/2025 - 12/2025	Caitlin John, LLC	Investment Advisor Representative	Y	Fort Worth, TX, United States
01/2024 - 03/2025	Self-employed	Property Developer Rep for Trinity Classic Homes	N	Forth Worth, TX, United States
08/2024 - 08/2024	Peak American Investment Advisors, Inc.	Senior Wealth Advisor	Y	Plano, TX, United States
12/2022 - 01/2024	CHARLES SCHWAB and CO., INC.	REGISTERED REPRESENTATIVE/INVESTMENT ADVISOR	Y	FORT WORTH, TX, United States
12/2013 - 12/2022	TD AMERITRADE	Senior Financial Consultant	Y	FORT WORTH, TX, 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.

James Wood, LLC | Non-investment related | Fort Worth TX | Self-employment business | Owner | Start date August 2024 | Not active, no time dedicated to this activity and none during normal business hours | Non active entity



## 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
Civil Event	1
Termination	1

### Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Initiated By:</b>	Federal Trade Commission
<b>Relief Sought:</b>	Injunction
<b>Date Court Action Filed:</b>	09/18/2012
<b>Date Notice/Process Served:</b>	09/26/2012
<b>Product Type:</b>	Other: Health-Care benefit plan
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	United States District Court Southern District of Florida
<b>Location of Court:</b>	Miami Florida
<b>Docket/Case #:</b>	3:14-cv-00458-L
<b>Employing firm when activity occurred which led to the action:</b>	ING Financial
<b>Allegations:</b>	Alleged Violations of FTC Act and Telemarketing Sales Rule in connection with marketing healthcare benefit plans from 2007 to 2012.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	10/10/2014
<b>Sanctions Ordered or Relief Granted:</b>	Injunction
<b>Capacities 1 of 1</b>	
<b>Capacities Affected:</b>	None



**Duration:** Immediate

**Start Date:** 10/10/2014

**End Date:**

**Monetary Sanction 1 of 1**

**Monetary Sanction:** Agreed \$125M jointly/several relief for all settling defendants, suspended after my remitting \$60K. Judgment remains suspended

**Total Amount:** \$125,000,000.00

**Portion against individual:** 60000

**Date Paid:** 10/10/2024

**Portion Waived:** No

**Amount Waived:**

**Broker Statement**

The FTC lawsuit was unrelated to any securities or investment advisory activity. It involved a civil FTC lawsuit against a company where I held a minority interest as part of my father's estate plan. It involved the marketing of healthcare benefit plans allegedly violating FTC Act and Telemarketing Sales Rule. I had no role or authority that would have involved awareness of any marketing activities. I denied all FTC allegations, and the matter was settled simply to avoid costly litigation, with no admission of wrongdoing or legal findings against me.



## 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:** Firm  
**Firm Name:** CHARLES SCHWAB & CO., INC.  
**Termination Type:** Discharged  
**Termination Date:** 12/14/2023  
**Allegations:** That the Representative didn't disclose his Federal Trade Commission (FTC) charges that were brought against Representative in 2012.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** CHARLES SCHWAB & CO., INC.  
**Termination Type:** Discharged  
**Termination Date:** 12/14/2023  
**Allegations:** Failed to disclose information regarding a 2014 FTC Settlement to Firm.  
**Product Type:** No Product

**Broker Statement**  
I did not believe the FTC Settlement was required to be disclosed as it involved an FTC action against my father's companies of which I was the recipient of a minority interest in one of those companies as part of his estate plan. The lawsuit related to the marketing of a health-care benefit plan which was not investment related. FTC only alleged violations of the FTC statute and a telemarketing rule related to the marketing of a health-care benefit plan. As a result, I did not believe the settlement required disclosure.



## End of Report

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