



IAPD Report

ALEXIS HOPE DUTTON

CRD# 6796706

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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

ALEXIS HOPE DUTTON (CRD# 6796706)

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 **10/31/2022**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

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

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	WOODBURY FINANCIAL SERVICES, INC.	421	VILLA RICA, GA	03/04/2022 - 10/31/2022
IA	THE STRATEGIC FINANCIAL ALLIANCE	126514	PEACHTREE CORNERS, GA	10/29/2019 - 04/05/2021

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?

No



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 not currently registered as an Investment Adviser Representative.



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

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Uniform Combined State Law Examination (S66)

Series 66

10/25/2019



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	03/04/2022 - 10/31/2022	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	VILLA RICA, GA
IA	10/29/2019 - 04/05/2021	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	PEACHTREE CORNERS

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
03/2022 - Present	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	VILLA RICA, GA, United States
03/2021 - Present	MY Financial Services	Financial Planner	Y	Villa Rica, GA, United States
06/2017 - 03/2021	Capital Insight Group	Operations	N	Peachtree Corners, GA, United States
01/2014 - 06/2017	The University of Georgia	Student	N	Athens, GA, United States
08/2015 - 06/2016	Dermatology of Athens	File Clerk/ Business Assistant	N	Athens, GA, 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) GENX FINANCIAL INC DBA CAPITAL INSIGHT GROUP (FORMERLY DBA THE KEEN INSIGHT GROUP), NOT INVESTMENT RELATED, 3930 EAST JONES BRIDGE ROAD SUITE 150 PEACHTREE CORNERS GA 30092, CORPORATION REPRESENTATIVE USES FOR NON-SECURITIES PART OF BUSINESS/DBA FOR MARKETING FINANCIAL SERVICES AND FIXED INSURANCE, PARTNER, DBA NAME CHANGE EFFECTIVE 1/4/2016 (THE KEEN INSIGHT GROUP 03/2010), 100% OF TIME.

2) THE VOW COLLECTIVE

POSITION: Wedding Coordinator NATURE: The Vow Collective, LLC. INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 0 START DATE: 01/15/2022

ADDRESS: 392 Mill Pond Crossing, Unit A4, Carrollton GA 30116, United States

DESCRIPTION: -Bridal consultations via phone or face to face-1-hour rehearsal-Confirmation and follow up with suppliers prior to wedding day-Creating and distributing timeline to bride and vendors-Management and coordination with ceremony location personal-Directing the ceremony processional-Pinning boutonnieres-Acting as the point of contact for family and vendors-Assisting wedding party and guests as needed-Managing unforeseen hiccups-Up to 8 hours of day of coordination and supervision



End of Report

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