



IAPD Report

CLYDE RICHARD WOOLFOLK JR

CRD# 707561

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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

CLYDE RICHARD WOOLFOLK JR (CRD# 707561)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	02/02/1990
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	PARIS, TX	02/07/1990 - 01/02/2009
B	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO	04/24/1980 - 11/22/1989

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
Customer Dispute	3



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 **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/02/1990
B	FINRA	General Securities Sales Supervisor	Approved	11/15/1990
B	Alaska	Agent	Approved	02/08/2022
B	Arizona	Agent	Approved	02/02/2005
B	Arkansas	Agent	Approved	02/08/1990
B	California	Agent	Approved	02/02/1990
B	Colorado	Agent	Approved	07/01/1992
B	Connecticut	Agent	Approved	02/04/2022
B	Florida	Agent	Approved	05/10/1990
B	Georgia	Agent	Approved	04/12/2018
B	Hawaii	Agent	Approved	08/10/2023
B	Iowa	Agent	Approved	07/15/2022
B	Kansas	Agent	Approved	02/05/1990



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	01/23/2026
B Louisiana	Agent	Approved	02/02/2022
B Missouri	Agent	Approved	05/13/1991
B New Hampshire	Agent	Approved	03/05/2025
B New York	Agent	Approved	01/08/1993
B Oklahoma	Agent	Approved	02/02/1990
B Pennsylvania	Agent	Approved	02/24/1994
B South Carolina	Agent	Approved	03/13/2023
B South Dakota	Agent	Approved	07/10/2024
B Texas	Agent	Approved	02/07/1990
B Virginia	Agent	Approved	01/06/2022
B Washington	Agent	Approved	05/09/1990
B Wyoming	Agent	Approved	01/06/1993

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
115 WEST COLLEGE
DENTON, TX 76201

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
115 WEST COLLEGE
DENTON, TX 76201



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/05/1990

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/19/1980

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/1980

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	02/07/1990 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	PARIS, TX
B	04/24/1980 - 11/22/1989	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	DENTON, TX, United States
04/2005 - Present	RICK WOOLFOLK, Pilot	Independent Contractor	N	DENTON, TX, United States
02/2005 - Present	RAYMOND JAMES & ASSOCIATES, INC.	CONSULTANT	Y	ST PETERSBURG, FL, United States
06/1999 - Present	AUXILARY OF THE US COAST GUARD	Not provided	N	DENTON, TX, United States
06/1998 - Present	CIVIL AIR PATROL	PILOT	N	DENTON, TX, United States
06/1998 - Present	Civil Air Patrol an Auxuiliary of the US Air Force	Not Provided	N	Denton, TX, United States
01/1990 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	NOT PROVIDED	Y	DENTON, TX, United States
06/1985 - Present	DENTON MUNICIPAL AIRPORT	CHAIRMAN	N	DENTON, TX, United States
01/2001 - 05/2018	DENTON COUNTY PROBATE COURT	SPECIAL COMMISSIONER	N	DENTON, TX, 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)Name of Business: Clyde R. Woolfolk, Jr. Address: 115 West College, Denton, TX, 76201, United States Activity Type: Accounting/CPA Position/Title: Owner/Proprietor Investment Related: No Start Date: 02/01/1990 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Prepare individual tax returns using Tax Cut software. Review Credit Reports to help clients strengthen credit rating by being responsive to excessive debt.

(2)Name of Business: Clyde Richard Woolfolk Jr & Donald Douglas Woolfolk Address: 4633 Spartan Drive, Denton, TX, 76207,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

United States Activity Type: Agriculture/Farming Position/Title: Partner Investment Related: No Start Date: 02/10/1990 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am the Coordinating Partner to deal with the Tennant Farmer, Insurance Company and Department of Agriculture regarding the 160 acre farm located in the Panhandle of Oklahoma. We grow primarily wheat. We inherited this from our mother in 1965.

(3)Name of Business: Denton Downtown Tax Increment Committee Address: Elm Street, Denton, TX, 76201, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board Investment Related: No Start Date: 06/02/2025 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: As the appointee from the Denton Economic Development Board, I am the Chair of the Committee. The group is comprised of business owner and landlords who operate in the Downtown area of Denton, TX. They have review authority to recommend to the City Council tax incentives to allow businesses to establish in the Downtown Denton area. The City Council makes all final decisions

(4)Name of Business: NA Address: 4633 Spartan Drive, Denton, TX, 76209, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 10/01/1997 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Single Family Residential Real Estate

(5)Name of Business: RWDW INC, Address: 4633 Spartan Drive, Denton, TX, 76207, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 06/01/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: i own a 66' X 90' airplane hangar on the Denton, TX Airport. I rent up to three spaces inside the hangar to owners of airplanes. Currently only one spaces is rented. I do not own the land the hangar sits on, that is owned by the City of Denton, TX

(6)Name of Business: Woolfolk Address: 115 West College, Denton, TX, 76201, United States Activity Type: Control Person Position/Title: Trustee (Acting) Investment Related: Yes Start Date: 12/13/2010 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: My Father died on 30 Nov 13 and I have assumed the Trustee duties of the Clyde R Woolfolk Revocable Trust and the Patience C Woolfolk Revocable Trust. Clyde is my Father, Patience was my late Step Mother.



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT WROTE A LETTER OF COMPLAINT ALLEGING THAT FA RICK WOOLFOLK DID NOT PROCESS A REQUEST TO MOVE FUNDS TO MONEY MARKET IN A TIMELY MANNER CAUSING LOSSES IN THE AMOUNT OF APPROXIMATELY \$25,000.
Product Type:	Mutual Fund
Alleged Damages:	\$25,000.00
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:	03/16/2009
Complaint Pending?	No
Status:	Denied
Status Date:	11/04/2009
Settlement Amount:	
Individual Contribution Amount:	

**Disclosure 2 of 3**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: CLIENT IS ALLEGING MISREPRESENTATION

Product Type: Equity - OTC

Other Product Type(s): EQUITY - LISTED

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 05/30/2002

Complaint Pending? No

Status: Denied

Status Date: 08/20/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement NO LONGER REPORTABLE BECAUSE FILED MORE THAN 24 MONTHS AGO AND DID NOT RESULT IN A SETTLEMENT OF \$10,000 OR MORE. PLEASE ARCHIVE.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES

Allegations: FRAUD, MISREPRESENTATION PROMISSORY ESTOPPEL, TORTIOUS INTERFERENCE W/ BUSINESS RELATIONS, CIVIL CONSPIRACY, VIOLATION OF THE DECEPTIVE TRADE PRACTICE ACT & BREACH OF CONTRACT IN THE SALE OF CERTAIN SECURITIES. (CLAIMED: UNSPECIFIED, ACTUAL DAMAGES, PUNITIVE DAMAGES, COSTS, ATTORNEYS FEES, TREBLE DAMAGES & INTEREST.)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution**

Amount:

Civil Litigation Information**Court Details:** DISTRICT; GRAYSON COUNTY, TX; 91-1165**Date Notice/Process Served:** 07/15/1991**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 03/12/1993**Monetary Compensation Amount:** \$25,000.00**Individual Contribution Amount:** \$2,500.00**Firm Statement** SETTLED. JONES PAID \$22,500 AND C. RICHARD WOOLFOLK PAID \$2,500 FOR A TOTAL OF \$25,000.
Not Provided**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** EDWARD D. JONES**Allegations:** FRAUD, MISREPRESENTATION, PROMISSORY ESTOPPEL, TORTIOUS INTERFERENCE W/BUSINESS RELATIONS, CIVIL CONSPIRACY, VIOLATION OF DECEPTIVE TRADE PRACTICES ACT & BREACH OF CONTRACT IN THE SALE OF CERTAIN SECURITIES. (CLAIMED: UNSPECIFIED, ACTUAL DAMAGES, COSTS, ATTORNEYS FEES, TREBLE DAMAGES & INTEREST)**Product Type:** Other**Other Product Type(s):** LIMITED PARTNERSHIP**Alleged Damages:** \$25,000.00**Customer Complaint Information****Date Complaint Received:** 07/15/1991**Complaint Pending?** No**Status:** Litigation**Status Date:** 03/12/1993**Settlement Amount:****Individual Contribution**

Amount:

Civil Litigation Information**Court Details:** 15TH JUDICIAL DISTRICT; GRAYSON COUNTY, TX; 91-1165**Date Notice/Process Served:** 07/15/1991**Litigation Pending?** No**Disposition:** Settled



Disposition Date: 03/12/1993

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$2,500.00

Broker Statement

SETTLED BY EDJONES. EDJ PAID \$25,000 I CONTRIBUTED \$2,500 TO EDJ TO STOP THE LITIGATION COSTS. [CUSTOMER] GAVE HER DEPOSITION IN AN ATTEMPT TO SUBSTANTIATE HER CLAIMS. IN THE DEPOSITION, SHE NEGATED ALL OF HER CLAIMS AGAINST ME. FURTHERMORE, HER EX-HUSBAND, A PARTY TO THE ORIGINAL PURCHASES, NEGATED MOST OF HER CLAIMS ALSO. THE JUDGE GRANTED A SUMMARY JUDGEMENT, INDICATING THERE WAS NO BASIS FOR HOLDING A TRIAL ON THE SUIT. ON THE DAY AFTER THE JUDGE ISSUED THE SUMMARY JUDGEMENT, EDJ ENTERED INTO A SETTLEMENT AGREEMENT AGAINST MY WISHES. I STILL DO NOT KNOW HOW THAT CAN HAPPEN, BUT ON THE ADVISE OF MY ATTORNEY I DID CONTRIBUTE \$2500 TOWARD ATTORNEY FEES, BEING ADVISED BY EDJ'S ATTORNEY THIS ACTION WOULD NOT CREAT A YES ON U5



End of Report

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