



IAPD Report

CHARLES HENSLEY BRUCE WOODWARD

CRD# 722200

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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

CHARLES HENSLEY BRUCE WOODWARD (CRD# 722200)

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 **10/04/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRATED ADVISORS NETWORK LLC	CRD# 171991	10/05/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SAN FRANCISCO SENTRY INVESTMENT GROUP	106257	SAN FRANCISCO, CA	01/07/2020 - 10/15/2021
B	S F SENTRY SECURITIES, INC.	27432	SAN FRANCISCO, CA	08/01/2017 - 07/22/2021
IA	SAN FRANCISCO SENTRY INVESTMENT GROUP	106257	San Francisco, CA	07/10/2017 - 12/31/2019

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	2
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INTEGRATED ADVISORS NETWORK LLC**

Main Address: 8117 PRESTON RD
SUITE 300
DALLAS, TX 75225

Firm ID#: 171991

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	10/05/2021

Branch Office Locations

INTEGRATED ADVISORS NETWORK LLC

Sausalito, CA



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, 2 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/31/1993
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/26/1981



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	01/07/2020 - 10/15/2021	SAN FRANCISCO SENTRY INVESTMENT GROUP	CRD# 106257	SAN FRANCISCO, CA
B	08/01/2017 - 07/22/2021	S F SENTRY SECURITIES, INC.	CRD# 27432	SAN FRANCISCO, CA
IA	07/10/2017 - 12/31/2019	SAN FRANCISCO SENTRY INVESTMENT GROUP	CRD# 106257	San Francisco, CA
B	12/10/2008 - 06/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SAN FRANCISCO, CA
IA	12/10/2008 - 06/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SAN FRANCISCO, CA
IA	07/08/1997 - 12/24/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA
B	08/30/1994 - 12/24/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA
B	11/20/1984 - 09/02/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	12/06/1983 - 12/05/1984	L. F. ROTHSCHILD, UNTERBERG, TOWBIN	CRD# 501	
B	01/19/1981 - 12/05/1983	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	

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
09/2021 - Present	Integrated Advisors Network, LLC	Investment Advisor Representative	Y	Palos Verdes Estates, CA, United States
06/2017 - Present	SF Sentry Securities, Inc.	Registered Representative	Y	San Francisco, CA, United States
06/2017 - Present	San Francisco Sentry Investment Group	Investment Adviser Representative	Y	San Francisco, CA, United States
11/2016 - 06/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, 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.

OBA 1

RENTAL PROPERTY; INVESTMENT RELATED; PHOENIX, AZ; 10% OWNERSHIP; START DATE = 2005; MINIMAL TIME DEVOTED; NONE DURING TRADING HOURS.

OBA 2

RENTAL PROPERTY (CONDO); INVESTMENT RELATED; BAJA MEXICO; OWNER; START DATE 2006; 0 HRS PER MONTH; 0 HRS DURING TRADING.

OBA 3

San Francisco Maritime National Park Assn; Non-investment related; California; Board of Directors; Start Date 2012; 4 HRS per month; 0 HRS during trading

OBA 4

Olympic Club Foundation; Non-investment related; California; Board of Directors; Start Date 2012; 4 HRS per month; 0 HRS during trading

OBA 5

SAN FRANCISCO SENTRY INVESTMENT GROUP; INVESTMENT-RELATED: Yes; ADDRESS: 100 PINE STREET, SUITE 2700 SAN FRANCISCO, CA 94111; NATURE: SEC REGISTERED INVESTMENT ADVISOR - PROVIDE INVESTMENT ADVISORY SERVICES; POSITION, TITLE OR RELATIONSHIP: Investment Adviser Representative; START DATE: 06/2017; # OF HRS/MTH: 160; # OF HRS/MTH DURING TRADING HRS: 160; DUTIES: PROVIDE INVESTMENT ADVISORY SERVICES



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	2
Termination	2

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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FRAUD, MISREPRESENTATION, OMISSIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THEIR PURCHASE OF LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES.

TIME FRAME:
10/07 - 9/08

Product Type: Other: LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): \$1 MIL - 3 MIL

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 09-06012
Filing date of arbitration/CFTC reparation or civil litigation: 10/29/2009

Customer Complaint Information

Date Complaint Received: 10/29/2009
Complaint Pending? No
Status: Settled
Status Date: 11/15/2010
Settlement Amount: \$475,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FRAUD, MISREPRESENTATION, OMISSIONS AND UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH THEIR PURCHASE OF LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES. TIME FRAME: 10/07-9/08

Product Type: Other: LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): \$1 MIL-3MIL

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-06012
Filing date of arbitration/CFTC reparation or civil litigation: 10/29/2009

Customer Complaint Information

Date Complaint Received: 10/29/2009
Complaint Pending? No
Status: Settled
Status Date: 11/15/2010
Settlement Amount: \$475,000.00



Individual Contribution Amount: \$0.00

Broker Statement THE UBS STRUCTURED PRODUCTS SALES DESK IN NEW YORK WERE PLACED ON SEVERAL CONFERENCE CALLS WITH THE CLIENT AND WERE 100% RESPONSIBLE FOR EXPLAINING THIS INVESTMENT, ITS RISKS & THEN CLOSED THE SALE FOR US. THE UBS SALES DESK MISREPRESENTED THE FACTS NOT THE FINANCIAL ADVISORS AS WE HAD NO EXPERIENCE WITH THE STRUCTURED PRODUCTS THIS CLIENT WAS INTERESTED IN

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: CLIENT COMPLAINS VERBALLY THAT HE INSTRUCTED FA TO SELL 125,000 SHARES OF CENTURA SOFTWARE AT THE OPEN ON 11/17/99 AND THE FA DID NOT SELL UNTIL ONE TO TWO HOURS AFTER THE OPEN. CLIENT ALLEGED DAMAGES IN THE FORM OF "LOST PROFITS" OF \$113,000.00.

Product Type: Equity - OTC

Alleged Damages: \$113,000.00

Customer Complaint Information

Date Complaint Received: 11/19/1999

Complaint Pending? No

Status: Settled

Status Date: 12/20/1999

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement AS BROKER-OF-RECORD FOR THE CHARITABLE ACCOUNT FOR 3 YEARS, THE ADMINISTRATOR WAS ILL-PREPARED AND NEVER COMMUNICATED TO ME IMPORTANT DETAILS ABOUT A \$1 MILLION STOCK GIFT THAT WAS PENDING. THIS CLIENT PROVIDED NO INFORMATION; THE NAME OF THE STOCK, THE DONOR, OR ANY OTHER BASIC INFORMATION THAT WOULD HAVE BEEN THE PROFESSIONAL EXPECTATION. WE SPOKE IN GENERAL TERMS OF SELLING "THE STOCK" WHENEVER IT CAME INTO THEIR ACCOUNT. THERE WAS NEVER A DIRECT ORDER TO SELL THE STOCK AT THE MARKET OPENING BECAUSE I HAD'NT EVEN RECEIVED IT DURING THE CONVERSATION, ONLY TO BE LOOKING FOR IT SOON. HAD I RECEIVED PROPER INFORMATION FROM THE CLIENT ABOUT THE STOCK THERE WAS PLENTY OF TIME TO HAVE EXECUTED AN ORDER AT THE OPENING (AT A HIGHER PRICE). THE ALLEGATIONS OF THIS UNPREPARED CLIENT ABOUT A LARGE STOCK GIFT ARE GROSSLY UNFAIR.



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: WELLS FARGO CLEARING SERVICES, LLC
Termination Type: Discharged
Termination Date: 05/31/2017
Allegations: Registered representative failed to reconfirm orders with clients prior to entry.
Product Type: No Product

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Reporting Source: Individual
Firm Name: Wells Fargo Clearing Services, LLC
Termination Type: Discharged
Termination Date: 05/31/2017
Allegations: Registered representative failed to reconfirm orders with clients prior to entry.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 12/01/2008
Allegations: FINANCIAL ADVISOR FAILED TO OBTAIN VERBAL CONFIRMATION OF CLIENT ORDER IN VIOLATION OF FIRM POLICY. FINANCIAL ADVISOR ALSO PURPOSELY BROKE UP CLIENT ORDER FOR PURPOSES OF EXECUTION, AND PLACED CLIENT ORDER AS 'MARKET' RATHER THAN 'LIMIT' ORDER CONTRARY TO CLIENT INSTRUCTION. FINANCIAL ADVISOR FURTHER FAILED TO COMMUNICATE CIRCUMSTANCES SURROUNDING TRADE ERROR TO MANAGEMENT
Product Type: No Product
Other Product Types:

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Reporting Source: Individual
Firm Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 12/01/2008
Allegations: FINANCIAL ADVISOR FAILED TO OBTAIN VERBAL CONFIRMATION OF CLIENT ORDER IN VIOLATION OF FIRM POLICY. FINANCIAL ADVISOR ALSO



PURPOSELY BROKE UP CLIENT ORDER FOR PURPOSES OF EXECUTION, AND PLACED CLIENT ORDER AS 'MARKET' RATHER THAN 'LIMIT' ORDER CONTRARY TO CLIENT INSTRUCTION. FINANCIAL ADVISOR FURTHER FAILED TO COMMUNICATE CIRCUMSTANCES SURROUNDING TRADE ERROR TO MANAGEMENT

Product Type:

No Product

Other Product Types:

Broker Statement

MR. WOODWARD DENIES THAT A SUFFICIENT BASIS IN LAW OR FACT EXISTED TO SUPPORT THE TERMINATION OF HIS EMPLOYMENT BY UBS, AND FURTHER, CONTENDS THAT UBS' CHARACTERIZATION IN ITS FORM U-5 OF THE FACTS OF MR. WOODWARD'S TERMINATION IS INACCURATE.



End of Report

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