IAPD Report

BRUCE BRENNER WOOD

CRD# 844688

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

BRUCE BRENNER WOOD (CRD# 844688)

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 **02/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HILTON HEAD CAPITAL PARTNERS, LLC	CRD# 299375	01/22/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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	CHALICE CAPITAL PARTNERS, LLC	288898	Hilton Head Island, SC	06/15/2018 - 06/27/2019
IA	HAYDEN ROYAL	170037	Hilton Head, SC	06/19/2017 - 01/22/2019
B	NIAGARA INTERNATIONAL CAPITAL LIMITED	135327	NEW YORK, NY	07/24/2017 - 06/15/2018

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

Employment 1 of 1

Firm Name: **HILTON HEAD CAPITAL PARTNERS, LLC**

Main Address: 7 LAFAYETTE PLACE
SUITE B
HILTON HEAD ISLAND, SC 29926

Firm ID#: 299375

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	03/11/2019
IA	South Carolina	Investment Adviser Representative	Approved	01/22/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	02/27/2024
IA	Virginia	Investment Adviser Representative	Approved	02/13/2019

Branch Office Locations

HILTON HEAD CAPITAL PARTNERS, LLC
7 LAFAYETTE PLACE
SUITE B
HILTON HEAD ISLAND, SC 29926

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, 3 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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	11/30/2009
B	General Securities Representative Examination (S7)	Series 7	10/15/1977

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/10/1991
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1982

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	06/15/2018 - 06/27/2019	CHALICE CAPITAL PARTNERS, LLC	CRD# 288898	Hilton Head Island, SC
IA	06/19/2017 - 01/22/2019	HAYDEN ROYAL	CRD# 170037	Hilton Head, SC
B	07/24/2017 - 06/15/2018	NIAGARA INTERNATIONAL CAPITAL LIMITED	CRD# 135327	NEW YORK, NY
IA	01/08/2009 - 06/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	HILTON HEAD ISLAND,
B	11/04/2003 - 06/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	HILTON HEAD ISLAND,
IA	11/05/2003 - 01/02/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	HILTON HEAD ISLAND,
IA	10/23/2003 - 10/24/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	HILTON HEAD ISLAND,
B	08/14/2000 - 10/15/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	08/12/2000 - 10/15/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	RICHMOND, VA
B	10/07/1998 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	07/31/1993 - 09/08/1998	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	04/11/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/22/1986 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	04/25/1983 - 06/23/1986	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	09/26/1978 - 05/10/1983	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	10/26/1977 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

Registration & Employment History

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
01/2019 - Present	Hilton Head Capital Partners LLC	Managing Member	Y	Hilton Head Island, SC, United States
01/2019 - 02/2025	Hilton Head Capital Partners LLC	Chief Compliance Officer	Y	Hilton Head Island, SC, United States
06/2018 - 06/2019	Chalice Capital Partners, LLC	Registered Representative	Y	San Diego, CA, United States
06/2017 - 01/2019	Great Lakes & Atlantic Management and Advisory Partners	IA	Y	Charlotte, NC, United States
06/2017 - 01/2019	Hayden Royal	Investment Adviser Representative	Y	Charlotte, NC, United States
06/2017 - 01/2019	Hilton Head Capital Partners	Managing Partner	Y	Hilton Head Island, SC, United States
07/2017 - 06/2018	Niagara International Capital Limited	Registered Representative	Y	Clarence, NY, United States
11/2003 - 06/2017	Wells Fargo Clearing Services, LLC	Account Vice President / Registered Representative	Y	Richmond, VA, United States
10/2003 - 06/2017	Wells Fargo Clearing Services, LLC	Account Vice President / Investment Adviser Representative	Y	Richmond, VA, 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.

HHCP Insurance Services, LLC-Not investment related-7 Lafayette Place, Suite B, Hilton Head, SC 29926-Insurance sales-Owner/Agent-8/1/2019-5 hrs/mth-0 during trading hrs-Through HHCP Insurance Services, LLC in affiliation with FIG marketing, will offer insurance and fixed annuities.

Hilton Head Capital Asset Protection LLC- Owner- Investment related-7 Lafayette Place, Suite B, Hilton Head, SC 29926-Insurance Business- 1/1/2025- Hours per month devoted to business during trading hours: 1- Hours per month devoted to business outside trading hours: 0- Percentage of total yearly compensation expected to be derived from the business: 0.

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: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENTS ALLEGE MISREPRESENTATION INTO VMS BOCA RATON HOTEL AND CLUB POLARIS. THEY ALLEGE DAMAGES OF $40,000.

Product Type:

Alleged Damages: $40,000.00

Customer Complaint Information

Date Complaint Received: 01/12/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $31,303.00

Individual Contribution Amount:

Firm Statement AFTER REVIEW, CLIENT OPTED TO PURSUE CLAIM THROUGH LIMITED PARTNERSHIP SETTLEMENT FUND.
Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE
Allegations:	CLIENTS ALLEGE MISREPRESENTATION INTO VMS BOCA RATON HOTEL AND CLUB POLARIS. THEY ALLEGE DAMAGES OF $40,000.
Product Type:	Other
Other Product Type(s):	PRIVATE REAL ESTATE LIMITED PARTNERSHIP
Alleged Damages:	$40,000.00

Customer Complaint Information

Date Complaint Received:	01/12/1994
Complaint Pending?	No
Status:	Settled
Status Date:	09/01/1998
Settlement Amount:	$31,303.00
Individual Contribution Amount:	$0.00
Broker Statement	AFTER REVIEW, CLIENT OPTED TO PURSUE CLAIM THROUGH LIMITED PARTNERSHIP FUND. AMOUNT OF SETTLEMENT WAS $31,303.00. VMS BOCA RATON HOTEL WAS SOLD IN 1996 AT A SUBSTANTIAL PROFIT TO THE LIMITED PARTNERS. CLIENTS, [CUSTOMERS], MADE PURCHASE OF POLAIR AIRCRAFT L/P WITHOUT A SALES PRESENTATION. I SIMPLY "DROPPED" PROSPECTUS AND ASKED THEM TO REVIEW MATERIAL. I WAS VERY SURPRISED WHEN THEY MADE THE PURCHASE WITH RETIREMENT FUNDS. NO MISREPRESENTATION WAS MADE WITH EITHER L/P. I ONLY USED BROKER/LEGAL APPROVED MATERIAL FOR CLIENTS.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE
Allegations:	ALLEGED MISREPRESENTATION REGARDING A DIRECT INVESTMENT ALLEGED DAMAGES UNSPECIFIED.
Product Type:	
Alleged Damages:	$40,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation

Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	American Arbitration Association; 16-1360520 90P
Date Notice/Process Served:	09/28/1990
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/01/1991
Monetary Compensation Amount:	$33,000.00
Individual Contribution Amount:	
Firm Statement	Not Provided Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE
Allegations:	I WAS NOT THE PLAINTIFF IN THIS COMPLAINT - PRUDENTIAL SECURITIES WAS NAMED AS PLANINTIFF. [CUSTOMER] ALLEGED THAT PRUDENTIAL FAILED TO PROPERLY SUPERVISE AND MONITOR A GENERAL A GENERAL PARTNERS MANAGEMENTOF A PRIVATE R/E ;/P THAT FILED BANKRUPTCY.
Product Type:	Other
Other Product Type(s):	PRIVATE REAL ESTATE LIMITED PARTNERSHIP
Alleged Damages:	$40,000.00

Customer Complaint Information

Date Complaint Received:	06/28/1990
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/28/1990
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AMERICAN ARBITRATION ASSOCIATION; 16-1360520 90P
Date Notice/Process Served:	09/28/1990

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/01/1991
Monetary Compensation Amount:	$33,000.00
Individual Contribution Amount:	$0.00
Broker Statement	[CUSTOMER] SETTLED FOR $33,000 ACCORDING TO PRU COUNSEL, [ATTORNEY]. [ATTORNEY] INDICATED THAT THERE WERE NO OTHER COMMENTS EXCEPT THAT SHE WOULD RECOMMEND IN HER LETTER TO HER SUPERVISORS THAT NO WRONG DOING WAS TO BE LAID TO MY SALE. [CUSTOMER] IS A FULLY ACCREDITED INVESTOR WITH NUMEROUS REAL ESTATE INVESTMENTS. ALL DOCUMENTS WERE PROPERLY EXECUTED AND PROCESSED. [CUSTOMER] ALSO ATTEMPTED TO SETTLE THIS PROBLEM FOR FAR LESS THAN HE RECEIVED BUT WAS UNABLE TO SO HE OBTAINED AN ATTORNEY. [CUSTOMER'S] COMPLAINT WAS BASICALLY ONLY ABOUT THE POOR G/P AND PRU'S MONITORING AND SUPERVISON. IF THERE HAD BEEN ANY WRONGDOING BY ME PRUDENTIAL WOULD NOT HAVE ASSISTED ME.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	
Allegations:	
Product Type:	
Alleged Damages:	$81,250.00

Customer Complaint Information

Date Complaint Received:	07/07/1989
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$31,303.00
Individual Contribution Amount:	$0.00
Firm Statement	[CUSTOMER] FILED A WRITTEN COMPLAINT WITH THE FIRM IN JULY 1989. THEY ALLEGED THAT BRUCE WOOD, IN SELLING TWO (2) LIMITED PARTNERSHIPS TO THEM, MISREPRESENTED THE PARTNERSHIPS. IT WAS ALLEGED THAT WOOD MISSTATED THE RETURN ON THE PARTNERSHIPS AS WELL AS THEIR RISK. THEY ALLEGED DAMAGES OF $81,250. THIS MATTER WAS SETTLED ON DECEMBER 4, 1989, TO AVOID THE RISK OF LITIGATING

THE MATTER AND BECAUSE THE CLIENTS HAD ALSO FILED A COMPLAINT WITH THE STATE OF VIRGINIA. BRUCE WOOD DID NOT CONTRIBUTE TO THE
SETTLEMENT OF $31,303. THE DOCUMENTS WHICH DISCUSSED THE RETURN
AND THE RISK WAS FACTUALLY CORRECT AND THE NUMBERS USED CAME
DIRECTLY FROM THE TWO OFFERING MEMORANDA INVOLVED. THE COMPLAINT
WITH VIRGINIA IS TO BE WITHDRAWN AS PART OF THE SETTLEMENT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE
Allegations:	CLIENTS ALLEGED THAT I IN SELLING TWO LIMITED PARTNERSHIPS TO THEM MISREPRESENTED THE PARTNERSHIPS & MISSTATED THE RETURN ON THE PARTNERSHIPS AS WELL AS THE RISKS. THEY ALLEGED DAMAGES OF $81,250.00
Product Type:	Other
Other Product Type(s):	PRIVATE REAL ESTATE LIMITED PARTNERSHIP
Alleged Damages:	$81,250.00

Customer Complaint Information

Date Complaint Received:	07/07/1989
Complaint Pending?	No
Status:	Settled
Status Date:	07/07/1990
Settlement Amount:	$31,303.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER WAS SETTLED TO AVOID THE RISK OF LITIGATING THE MATTER & BECAUSE THE CLIENTS HAD ALSO FILED A COMPLAINT WITH THE STATE OF VIRGINIA. I DID NOT CONTRIBUTE TO THE SETTLEMENT OF $31,303.00. THE COMPLAINT WITH VIRGINIA IS TO BE WITHDRAWN AS PART OF THE SETTLEMENT. NOT PROVIDED

End of Report

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