

# GREGORY B. WOOD

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## *Curriculum Vitae*

### *Professional Experience*

- **Securities Litigation Support, LLC** • Henderson, NV 2004 –  
*Securities Expert Witness*
- **Wells Fargo Private Client Services<sup>1</sup>** • Salt Lake City, UT 2001 - 2004  
*Regional Manager / Senior Regional Sales Manager - Senior Vice President*
- **George K. Baum & Company** • Kansas City, MO 1999 - 2001  
*Retail Head - Executive Vice President*
- **Prudential Securities & Insurance** • Various Positions 1978 - 1999
  - Pilot Programs** • Prudential Insurance • Ft. Worth, TX 1998 - 1999
  - Executive Director** • Prudential Insurance Test Markets • VA & AZ 1997 - 1998
  - Director of Regional Training** • Prudential Securities • Dallas, TX 1994 - 1997
  - Branch Manager** • Prudential Securities • Fort Worth, TX 1982 - 1994
  - Stock and Commodities Broker** • Prudential Securities • Bellevue, WA 1978 - 1982
- **Shearson, Hammill & Co.** • Seattle, WA 1969 - 1978  
*Stock and Commodities Broker*

### *Securities Licenses<sup>2</sup>*

Greg Wood has passed the following examinations or their equivalents and has held the following licenses or their equivalents:

- Series 3 National Commodities Futures
- Series 4 Registered Options Principal
- Series 5 Interest Rate Options Examination
- Series 7 General Securities Representative (S1 & S12)
- Series 8 General Securities Sales Supervisor (S40, S5 & S15)
- Series 15 Foreign Currency Options Examination
- Series 40 General Securities Principal (Qualifies as S24)

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<sup>1</sup> Registration – Wells Fargo Investments, LLC

<sup>2</sup> Licenses are now inactive.

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## ***Securities Licenses Continued***

- Series 63            Uniform Securities Agent State Law Examination
- Series 65            Uniform Investment Advisor Examination
- State Life and Health Insurance Examination

## ***Professional Education and Training***

- Securities Industry Association • Securities Industry Institute • 1990 Graduate
- NASD Arbitrator Training • 2003
- Mediator Training, Utah Alternative Dispute Resolution • 2004 – 2005
- NASD Additional Training: Annuities II • 2004
- NASD Arbitrator Chairperson Training • 2004
- NASD Mini-Courses #1, #2, #3 • 2004
- NASD Mini-Courses #4, #5 • 2006
- NASD Additional Training: Revised Code of Arbitration • 2007
- NFA Online Arbitrator Training • 2008
- NASD Additional Training: Expungement • 2008
- FINRA Expungement Refresher • 2009
- NFA Requests for Pre-Hearing Decisions • 2015
- NFA Conducting a Virtual Hearing • 2020

## ***Other***

- FINRA & NFA Arbitrator (2003-Present)
- FINRA Mediator (2006-2013)
- Mediator • Utah Court-Annexed ADR Roster (2005-2006)
- SIFMA Compliance and Legal Division • Past Member
- Mountain Mediation Center, Park City, UT • Founding Board Member (Past)
- SIA Sales and Marketing Committee • Past Member
- Chicago Mercantile Exchange • IOM Seat • Past Member
- Selective Service System • Nevada Local Board Member

**Gregory B. Wood**  
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