

# GREGORY B. WOOD

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## *Curriculum Vitae*

### *Professional Experience*

- **Securities Litigation Support, LLC** • Henderson, NV 2004 –  
*Securities Litigation Consultant - President*
- **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 and holds or has held the following licenses or their equivalents:

- Series 3 National Commodities Futures
- Series 7 General Securities Representative
- Series 8 General Securities Sales Supervisor (Same as 9 and 10)
- Series 24 General Securities Principal
- Series 63 Uniform Securities Agent State Law Exam
- Series 65 Uniform Investment Advisor Exam
- Insurance Exam

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

<sup>2</sup> Most licenses are now inactive.

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## *Curriculum Vitae*

### Education and Training

- Oregon State University • Business Administration
- Securities Industry Institute • 1990 Graduate • University of Pennsylvania
- NASD Arbitrator Training • 2003
- NASD Arbitrator Chairperson Training • 2004
- NASD Mini-Courses #1, #2, #3 • 2004
- NASD Mini-Courses #4, #5 • 2006
- Mediator Training, Utah Alternative Dispute Resolution • 2004 - 2005

### *Other*

- FINRA (NASD, NYSE) & NFA Arbitrator
- FINRA (NASD) Mediator
- Mediator on the Utah Court-Annexed ADR Roster (2005-2006)
- Member of the Securities Industry and Financial Markets Association • CL Division
- Founding Board Member (Past) • Mountain Mediation Center, Park City, UT
- Past Member of the Securities Industry and Financial Markets Association, Sales and Marketing Committee
- Member of the Securities Experts' Roundtable
- Past Member, Chicago Mercantile Exchange • IOM Seat

**Gregory B. Wood**  
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