

# WEST CONSULTING, LLC

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## JOHN C. WEST CURRICULUM VITAE

### INTRODUCTION

Mr. West has thirty-five years of Securities Industry experience, seven as a producing Financial Advisor and twenty-eight as a Branch Office Manager and Supervisor. Since his retirement in 2009, Mr. West has been engaged in over four hundred matters involving disputes in the Securities Industry and has been accepted as an expert by Arbitration Panels and Federal and State Courts and testified in over eighty cases.

### EMPLOYMENT HISTORY

2009 - Present	West Consulting, LLC - Litigation support and expert testimony for Securities Industry disputes; management consulting and compliance consulting
1998 - 2009	Wachovia Securities (Wells Fargo Advisors) and predecessors <sup>1</sup> Senior Vice President and Complex Manager. Responsible for supervision, compliance and sales management for ninety-one financial advisors in seven locations in Tennessee, Mississippi and Arkansas.
1983 - 1998	Prudential Securities- First Vice President and Branch Manager. Responsible for supervision, compliance and sales management for forty-five advisors.
1982- 1983	R. Rowland & Co. - Vice President and Branch Manager. Responsible for supervision, compliance and sales management of ten financial advisors.
1979 - 1982	Paine Webber - Financial Advisor
1974 - 1979	E.F. Hutton & Co. - Financial Advisor
1972 - 1973	Graduate School of Business- Memphis State University- Teaching Assistant
1964 - 1971	United States Air Force - US, Europe and Viet Nam

*Revised August 12, 2021*

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<sup>1</sup> EVEREN Securities was acquired by First Union Bank in 1999. First Union Bank merged with Wachovia Bank in 2001. Wachovia Bank was acquired by Wells Fargo Bank 2009.

## **EDUCATION**

1973 Memphis State University, Masters level classes in Economics- no degree  
1972 University of Tampa, B.S. Business Administration

## **LICENSES AND REGISTRATIONS<sup>2</sup>**

Series 1 General Securities-Series 7 equivalent  
Series 3 Commodities and Futures  
Series 5 Interest Rate Options  
Series 8 Branch Supervision Qualification - Series 9/10 equivalent  
Series 15 Foreign Currency Options  
Series 63 Uniform State Agent Law  
Series 65 Registered Investment Advisor Qualification  
Life Insurance - Tennessee  
Variable and Fixed Annuities  
Mortgage lender qualification- Mississippi

## **MEMBERSHIPS AND SECURITIES INDUSTRY ACTIVITIES**

FINRA Arbitrator, including experience as panel chairperson  
NASD District Business Conduct Committee  
Securities Industry and Financial Markets Association (SIFMA)  
Past President, Memphis Securities Dealers Association  
Past President, Memphis Grain and Hay (Memphis Board of Trade Affiliate)  
Executive committee member, Branch Manager Advisory Council – multiple years  
Branch Manager Advisory Council- multiple years  
Two-time panelist at SIFMA Annual Seminar on branch office supervision  
Panelist at FINRA District Five regional meeting on branch office supervision  
Volunteer Hearing Officer CFP Board Disciplinary and Ethics Commission

## **AREAS OF COMPETENCY AND EXPERTISE (Including, but not limited to)**

Sales Practices	Raiding	Registered Investment Advisor issues
Suitability	Recruiting	Insurance/Annuities
Supervision	U-4 and U-5 issues	Fee Based Accounts, Mutual Funds
Operations	Employment	Equities, Options and Fixed Income

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<sup>2</sup> All licenses and registrations are inactive. FINRA requires requalification if registrations are inactive for two years.