

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 five hundred matters involving disputes in the Wealth Management Industry and has been accepted as an expert by Arbitration Panels and Federal and State Courts and testified by appearance and deposition in over ninety 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 ¹ 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 March 1, 2024

¹ 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 REGISTRATIONS²

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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² All licenses and registrations are inactive. FINRA requires requalification if registrations are inactive for two years.