

## Charles A. Wood, Jr.

PARTNER

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VCard



A member of Shumaker's Litigation & Disputes Service Line, Charles represents large financial institutions and high-net-worth individuals in securities litigation, regulatory investigations, and violations of contractual covenants. He primarily focuses on restrictive covenants, trade secrets, mergers and acquisitions, commercial litigation and arbitration. He regularly counsels financial advisors through Financial Industry Regulatory Authority (FINRA) and other regulatory investigations.

Additionally, Charles' practice focuses on:

- Brokerage industry transitions, promissory notes, and deferred compensation disputes
- Defending TRO litigation
- Registered Investment Advisory (RIA) development and planning
- Drafting and Negotiating Asset Purchase Agreements, Financial Advisor Employment Agreements, and Independent Contractor Agreements
- Negotiating financial advisor contracts with top firms
- Representing financial advisors in numerous regulatory matters before the Financial Industry Regulatory Authority (FINRA)
- Form U-4 and U-5 issues
- Navigating Heightened Supervision

### SERVICE LINE

Data Breach Response Team  
Litigation & Disputes

### INDUSTRY SECTOR

Financial Institutions &  
Insurance  
Financial Services  
Registered Investment  
Advisory (RIA)

### PRIMARY LOCATION

Sarasota, FL

### EDUCATION

- Corporate raiding

A native of Florida, Charles was drawn to the legal profession since childhood. He received his undergraduate degree at Boston College and his J.D. from the University of Florida Levin College of Law, where he served as the executive forum editor of the *Florida Law Review*.

## BAR & COURT ADMISSIONS

Massachusetts, 2016

Florida, 2015

U.S. District Court, Southern District of, Florida, 2017

U.S. District Court, Middle District of, Florida, 2017

U.S. District Court, Massachusetts, 2018

## HONORS

- Best Lawyers: Ones to Watch, 2022-2024
- *SRQ Magazine*: 2020 Elite Top Attorneys, Rising Star

J.D., with honors, University of Florida Levin College of Law, 2015

B.A., Economics and Communication, Boston College, 2010