



IAPD Report

JEFFREY LUXENBERG

CRD# 1009571

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JEFFREY LUXENBERG (CRD# 1009571)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	08/04/2022
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	08/04/2022

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **13** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MORGAN STANLEY	149777	New York, NY	05/15/2020 - 08/11/2022
B	MORGAN STANLEY	149777	New York, NY	11/15/2013 - 08/11/2022
B	JEFFERIES LLC	2347	NEW YORK, NY	08/25/2006 - 11/19/2013

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	7



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **13** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/04/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/04/2022
B FINRA	General Securities Representative	Approved	08/04/2022
B NYSE American LLC	General Securities Representative	Approved	08/04/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	08/04/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	08/04/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/04/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/04/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/04/2022
B Nasdaq Stock Market	General Securities Representative	Approved	08/04/2022
B New York Stock Exchange	General Securities Representative	Approved	08/04/2022
B Arizona	Agent	Approved	08/04/2022
B California	Agent	Approved	08/05/2022



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	08/04/2022
B Delaware	Agent	Approved	07/07/2025
B District of Columbia	Agent	Approved	08/04/2022
B Florida	Agent	Approved	08/04/2022
B Illinois	Agent	Approved	08/18/2022
B Maryland	Agent	Approved	01/25/2024
B Michigan	Agent	Approved	06/20/2025
B Nevada	Agent	Approved	02/17/2023
B New Jersey	Agent	Approved	08/04/2022
B New York	Agent	Approved	08/04/2022
IA New York	Investment Adviser Representative	Approved	08/04/2022
B Rhode Island	Agent	Approved	11/16/2023

Branch Office Locations

WELLS FARGO ADVISORS
767 5TH AVE 33RD FL
[Y2-RBO]
NEW YORK, NY 10153



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/18/1982
Municipal Securities Representative Examination (S52)	Series 52	09/19/1981

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/18/1985
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/15/2020 - 08/11/2022	MORGAN STANLEY	CRD# 149777	New York, NY
B	11/15/2013 - 08/11/2022	MORGAN STANLEY	CRD# 149777	New York, NY
B	08/25/2006 - 11/19/2013	JEFFERIES LLC	CRD# 2347	NEW YORK, NY
B	07/11/2002 - 09/11/2006	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	05/27/1998 - 07/15/2002	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	11/01/1994 - 05/18/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/28/1991 - 11/02/1994	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	04/06/1989 - 02/26/1991	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	10/14/1985 - 04/06/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	11/04/1981 - 10/15/1985	HALPERT, OBERST AND COMPANY	CRD# 7094	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
01/2015 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
01/2015 - 08/2022	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
11/2013 - 08/2022	MORGAN STANLEY	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	7

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JEFFERIES & COMPANY, INC.
Allegations:	CUSTOMER'S ALLEGE UNSUITABLE INVESTMENTS IN VARIOUS HIGH YIELD CORPORATE BONDS.
Product Type:	Debt-Corporate
Alleged Damages:	\$2,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-05413
Filing date of arbitration/CFTC reparation or civil litigation:	09/22/2009

Customer Complaint Information

Date Complaint Received:	09/24/2009
Complaint Pending?	No



Status: Settled
Status Date: 08/09/2010
Settlement Amount: \$150,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: JEFFERIES & COMPANY, INC
Allegations: CUSTOMER ALLEGED UNSUITABLE INVESTMENTS IN HIGH YIELD BONDS AND A PRIVATE PLACEMENT.
Product Type: Debt-Corporate
Alleged Damages: \$300,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/22/2009
Complaint Pending? No
Status: Settled
Status Date: 06/04/2009
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 7

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: BEAR, STEARNS & CO. INC.
Allegations: CUSTOMER RAISED MISREPRESENTATION AND SUITABILITY ALLEGATIONS CONCERNING A RANGE NOTE PURCHASED IN HIS ACCOUNT IN JULY, 2003 AND SOLD IN NOVEMBER, 2006. CUSTOMER CLAIMED THAT HE WAS NOT ADVISED AS TO HOW THE BOND WAS STRUCTURED AND THE EXTENT TO WHICH THE SECURITY COULD DECLINE IN VALUE. CUSTOMER ALSO CLAIMED THAT HE WAS NOT ADVISED SECURITY DID NOT PAY INTEREST IN THE YEAR 2006. CUSTOMER CLAIMED THE AMOUNT IN DISPUTE WAS \$100,000, REPRESENTING THE NET AMOUNT INVESTED.
Product Type: Debt - Government
Alleged Damages: \$100,000.00

**Customer Complaint Information**

Date Complaint Received: 05/18/2007

Complaint Pending? No

Status: Denied

Status Date: 05/21/2007

Settlement Amount:

Individual Contribution Amount:

Firm Statement COMPLAINT DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BEAR, STEARNS & CO. INC.

Allegations: CUSTOMER RAISED MISREPRESENTATION AND SUITABILITY ALLEGATIONS CONCERNING A RANGE NOTE PURCHASED IN HIS ACCOUNT IN JULY, 2003 AND SOLD IN NOVEMBER, 2006. CUSTOMER CLAIMED THAT HE WAS NOT ADVISED AS TO HOW THE BOND WAS STRUCTURED AND THE EXTENT TO WHICH THE SECURITY COULD DECLINE IN VALUE. CUSTOMER ALSO CLAIMED THAT HE WAS NOT ADVISED SECURITY DID NOT PAY INTEREST IN THE YEAR 2006. CUSTOMER CLAIMED THE AMOUNT IN DISPUTE WAS \$100,000, REPRESENTING THE NET AMOUNT INVESTED.

Product Type: Debt - Government

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 05/18/2007

Complaint Pending? No

Status: Denied

Status Date: 05/21/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT WAS AWARE OF THE TERMS OF THE NOTE AND HAD PURCHASED SIMILAR NOTES SEVERAL TIMES PREVIOUSLY. I DO NOT BELIEVE THE CLAIM HAS ANY MERIT.

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PRUDENTIAL, LEHMAN BROTHERS INC.

Allegations: COMPLAINANT CLAIMS TO HAVE SUFFERED LOSSES AS A RESULT OF ALLEGEDLY UNSUITABLE INVESTMENT ADVICE AND VARIOUS BUT



UNSPECIFIED MISREPRESENTATIONS.

Product Type: Debt - Corporate

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/23/2004

Complaint Pending? No

Status: Denied

Status Date: 03/05/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement ALLEGED DAMAGES ARE UNSPECIFIED BUT ESTIMATED TO EXCEED MINIMUM FILING REQUIREMENTS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PRUDENTIAL, LEHMAN BROTHERS

Allegations: CUSTOMER CLAIMS TO HAVE SUFFERED LOSSES AS A RESULT OF ALLEGEDLY UNSUITABLE INVESTMENT ADVICE AND VARIOUS BUT UNSPECIFIED MISREPRESENTATIONS. ALLEGED DAMAGES ARE UNSPECIFIED BUT ESTIMATED TO EXCEED MINIMUM FILING REQUIREMENTS.

Product Type: Debt - Corporate

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/23/2004

Complaint Pending? No

Status: Denied

Status Date: 03/05/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.

Allegations: NOW, AFTER THE MARKET HAS REACHED RECORD LOWS, IT HAS BEEN ALLEGED THAT [CUSTOMER] SUFFERED LOSSES AS A RESULT OF ALLEGEDLY UNSUITABLE INVESTMENT RECOMMENDATIONS DATING AS FAR BACK AS 1999.



Product Type: Debt - Corporate

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 03/27/2002

Complaint Pending? No

Status: Settled

Status Date: 01/07/2003

Settlement Amount: \$56,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.

Allegations: NOW, AFTER THE MARKET HAS REACHED RECORD LOWS, IT HAS BEEN ALLEGED THAT CUSTOMER SUFFERED LOSSES AS A RESULT OF ALLEGEDLY UNSUITABLE INVESTMENT RECOMMENDATIONS DATING AS FAR BACK AS 1999.

Product Type: Debt - Corporate

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 03/27/2002

Complaint Pending? No

Status: Settled

Status Date: 01/07/2003

Settlement Amount: \$56,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEGES THAT HER PURCHASE OF BOSTON CHICKEN INC. CONVERTIBLE DEBENTURE BONDS IN JUNE 1997 WAS INCONSISTENT WITH HER OBJECTIVES.

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$51,620.13



Customer Complaint Information

Date Complaint Received: 06/17/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/16/2000
Settlement Amount: \$27,500.00
Individual Contribution Amount: \$11,250.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARB NUMBER: 99-01942
Date Notice/Process Served: 06/17/1999
Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/16/2000
Monetary Compensation Amount: \$27,500.00
Individual Contribution Amount: \$11,250.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: NASD ARBITRATION CLAIM ALLEGES THAT CLIENT'S PURCHASE OF BOSTON CHICKEN INC CONVERTIBLE DEBENTURE BONDS IN JUNE 1997 WAS INCONSISTENT WITH CLIENTS OBJECTIVES.
Product Type: Other
Other Product Type(s): CORPORATE BONDS
Alleged Damages: \$51,620.13

Customer Complaint Information

Date Complaint Received: 06/17/1999
Complaint Pending? No
Status: Arbitration/Reparation
Settled
Status Date: 02/16/2000
Settlement Amount: \$27,500.00
Individual Contribution Amount: \$11,250.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 99-01942

Date Notice/Process Served: 06/17/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/16/2000

Monetary Compensation Amount: \$27,500.00

Individual Contribution Amount: \$11,250.00

Disclosure 7 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED THAT IN FEBRUARY 1997 HIS FA DID NOT SELL HIS INVESTMENT IN TOY BIZ INC AS INSTRUCTED. ALLEGED DAMAGES WERE \$14,137.00

Product Type:

Alleged Damages: \$14,137.00

Customer Complaint Information

Date Complaint Received: 12/30/1997

Complaint Pending? No

Status: Denied

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED
THE CUSTOMER DID NOT GIVE A SALES ORDER UNTIL SEPTEMBER 1997. HIS INVESTMENT WAS SOLD UPON HIS REQUEST.



End of Report

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