



IAPD Report

ANNE M SHORE

CRD# 1046557

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

ANNE M SHORE (CRD# 1046557)

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 **12/01/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	02/26/2019
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	02/26/2019

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **31** 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	CHARLESTON, SC	03/12/2018 - 02/25/2019
B	MORGAN STANLEY	149777	CHARLESTON, SC	03/08/2018 - 02/25/2019
B	WELLS FARGO CLEARING SERVICES, LLC	19616	CHARLOTTE, NC	12/09/2008 - 02/07/2018

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?

No



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 **31** 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	02/26/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/26/2019
B	FINRA	General Securities Representative	Approved	02/26/2019
B	NYSE American LLC	General Securities Representative	Approved	02/26/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/26/2019
B	NYSE Texas, Inc.	General Securities Representative	Approved	02/26/2019
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	02/26/2019
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/26/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/26/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	02/26/2019
B	New York Stock Exchange	General Securities Representative	Approved	02/26/2019
B	Alabama	Agent	Approved	02/26/2019
B	Arizona	Agent	Approved	02/26/2019



Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	12/01/2023
B	California	Agent	Approved	04/02/2019
B	Colorado	Agent	Approved	02/26/2019
B	Connecticut	Agent	Approved	02/26/2019
B	Delaware	Agent	Approved	02/26/2019
B	Florida	Agent	Approved	02/26/2019
B	Georgia	Agent	Approved	02/26/2019
B	Illinois	Agent	Approved	02/26/2019
B	Kentucky	Agent	Approved	02/21/2023
B	Maine	Agent	Approved	01/13/2021
B	Maryland	Agent	Approved	02/26/2019
B	Massachusetts	Agent	Approved	02/26/2019
B	Michigan	Agent	Approved	02/26/2019
B	Missouri	Agent	Approved	04/16/2021
B	Montana	Agent	Approved	10/04/2022
B	Nevada	Agent	Approved	10/26/2021
B	New Hampshire	Agent	Approved	02/26/2019
B	New Jersey	Agent	Approved	03/08/2019
B	New York	Agent	Approved	02/26/2019



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	02/26/2019
B	Ohio	Agent	Approved	02/26/2019
B	Oklahoma	Agent	Approved	02/26/2019
B	Pennsylvania	Agent	Approved	02/26/2019
B	South Carolina	Agent	Approved	02/26/2019
IA	South Carolina	Investment Adviser Representative	Approved	02/26/2019
B	Tennessee	Agent	Approved	02/26/2019
B	Texas	Agent	Approved	02/26/2019
IA	Texas	Investment Adviser Representative	Approved	02/26/2019
B	Virginia	Agent	Approved	02/26/2019
B	West Virginia	Agent	Approved	10/22/2021
B	Wisconsin	Agent	Approved	02/26/2019

Branch Office Locations

WELLS FARGO ADVISORS

320 BROAD ST 3RD FL
CHARLESTON, SC 29401



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	05/15/1982

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	11/05/2007
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/28/1982



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	03/12/2018 - 02/25/2019	MORGAN STANLEY	CRD# 149777	CHARLESTON, SC
B	03/08/2018 - 02/25/2019	MORGAN STANLEY	CRD# 149777	CHARLESTON, SC
B	12/09/2008 - 02/07/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CHARLOTTE, NC
IA	12/09/2008 - 02/07/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CHARLOTTE, NC
B	01/01/2008 - 07/01/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CHARLOTTE, NC
IA	01/01/2008 - 07/01/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CHARLOTTE, NC
B	04/17/2006 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	CHARLOTTE, NC
IA	11/06/2007 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	CHARLOTTE, NC
B	10/19/1994 - 07/29/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	01/21/1994 - 10/25/1994	AMERISTAR CAPITAL MARKETS, INC.	CRD# 17068	
B	12/08/1993 - 01/25/1994	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	12/02/1992 - 12/04/1993	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	07/15/1991 - 09/15/1992	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	05/24/1982 - 06/17/1991	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY



Registration & Employment History

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
02/2019 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	CHARLESTON, SC, United States
03/2018 - 02/2019	Morgan Stanley	Associate	Y	Charleston, SC, United States
01/2018 - 03/2018	unemployed	Homemaker	N	Mount Pleasant, SC, United States
11/2016 - 01/2018	Wells Fargo Clearing Services	Registered Rep	Y	Charlotte, NC, United States
12/2014 - 11/2016	WELLS FARGO Advisors	REGISTERED REP	Y	Charlotte, NC, United States

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.

TRUSTEE FOR MOTHER, INV RELATED, FAIRPORT, NY, START: 12/21/2021, 5 HRS/MONTH, 0 HRS DURING TRADING.
EXECUTOR FOR FATHER'S ESTATE; INV. RELATED; VALLEY FORGE, PA; START DATE 12/2021; 5 HRS PER MONTH; 0 HRS DURING TRADING.



End of Report

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