



IAPD Report

BARRY THOMAS ONEIL III

CRD# 1186926

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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

BARRY THOMAS ONEIL III (CRD# 1186926)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	12/02/2025
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	12/02/2025

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **53** 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	UBS FINANCIAL SERVICES INC.	8174	ROCKLAND, MA	10/26/2011 - 12/12/2025
B	UBS FINANCIAL SERVICES INC.	8174	ROCKLAND, MA	07/20/2011 - 12/12/2025
IA	RBC CAPITAL MARKETS, LLC	31194	OSTERVILLE, MA	11/04/2003 - 08/15/2011

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
Criminal	2
Customer Dispute	1



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 **53** 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	12/02/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/02/2025
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	12/02/2025
B FINRA	General Securities Representative	Approved	12/02/2025
B FINRA	General Securities Sales Supervisor	Approved	12/02/2025
B NYSE American LLC	General Securities Representative	Approved	12/02/2025
B NYSE American LLC	General Securities Sales Supervisor	Approved	12/02/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	12/02/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	12/02/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	12/02/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	12/02/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	12/02/2025



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	12/02/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	12/02/2025
B Nasdaq Stock Market	General Securities Representative	Approved	12/02/2025
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/02/2025
B New York Stock Exchange	General Securities Representative	Approved	12/02/2025
B New York Stock Exchange	General Securities Sales Supervisor	Approved	12/02/2025
B Alabama	Agent	Approved	12/12/2025
B Alaska	Agent	Approved	12/04/2025
B Arizona	Agent	Approved	12/02/2025
B Arkansas	Agent	Approved	12/02/2025
B California	Agent	Approved	12/02/2025
B Colorado	Agent	Approved	12/02/2025
B Connecticut	Agent	Approved	12/02/2025
B Delaware	Agent	Approved	12/02/2025
B District of Columbia	Agent	Approved	12/02/2025
B Florida	Agent	Approved	12/02/2025
B Georgia	Agent	Approved	12/02/2025



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	12/11/2025
B	Idaho	Agent	Approved	12/03/2025
B	Illinois	Agent	Approved	12/02/2025
B	Indiana	Agent	Approved	12/02/2025
B	Iowa	Agent	Approved	12/02/2025
B	Kansas	Agent	Approved	12/02/2025
B	Kentucky	Agent	Approved	12/02/2025
B	Louisiana	Agent	Approved	12/02/2025
B	Maine	Agent	Approved	12/02/2025
B	Maryland	Agent	Approved	12/02/2025
B	Massachusetts	Agent	Approved	12/02/2025
B	Michigan	Agent	Approved	12/02/2025
B	Minnesota	Agent	Approved	12/02/2025
B	Mississippi	Agent	Approved	12/04/2025
B	Missouri	Agent	Approved	12/02/2025
B	Montana	Agent	Approved	12/02/2025
B	Nebraska	Agent	Approved	12/09/2025
B	Nevada	Agent	Approved	12/02/2025
B	New Hampshire	Agent	Approved	12/02/2025



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	12/02/2025
B New Mexico	Agent	Approved	12/02/2025
B New York	Agent	Approved	12/02/2025
B North Carolina	Agent	Approved	12/02/2025
B North Dakota	Agent	Approved	12/08/2025
B Ohio	Agent	Approved	12/02/2025
B Oklahoma	Agent	Approved	12/02/2025
B Oregon	Agent	Approved	12/02/2025
B Pennsylvania	Agent	Approved	12/02/2025
B Puerto Rico	Agent	Approved	02/03/2026
B Rhode Island	Agent	Approved	12/02/2025
B South Carolina	Agent	Approved	12/02/2025
B South Dakota	Agent	Approved	12/15/2025
B Tennessee	Agent	Approved	12/02/2025
B Texas	Agent	Approved	12/02/2025
IA Texas	Investment Adviser Representative	Approved	12/02/2025
B Utah	Agent	Approved	12/02/2025
B Vermont	Agent	Approved	12/02/2025
B Virgin Islands	Agent	Approved	12/04/2025



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	12/02/2025
B Washington	Agent	Approved	12/02/2025
B West Virginia	Agent	Approved	12/08/2025
B Wisconsin	Agent	Approved	12/02/2025
B Wyoming	Agent	Approved	12/02/2025

Branch Office Locations

WELLS FARGO ADVISORS

125 HIGH ST
STE 1359A
BOSTON, MA 02110





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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/04/2008
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/21/2008

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/1983

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	10/26/2011 - 12/12/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROCKLAND, MA
B	07/20/2011 - 12/12/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROCKLAND, MA
IA	11/04/2003 - 08/15/2011	RBC CAPITAL MARKETS, LLC	CRD# 31194	OSTERVILLE, MA
B	05/09/2003 - 08/15/2011	RBC CAPITAL MARKETS, LLC	CRD# 31194	OSTERVILLE, MA
B	01/01/1998 - 05/19/2003	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	12/12/1990 - 12/10/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/20/1989 - 12/15/1990	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	04/11/1988 - 01/05/1989	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	12/17/1987 - 02/20/1988	NOVATECH CAPITAL CORPORATION	CRD# 18555	
B	11/05/1987 - 12/22/1987	JAMES J. DUANE & CO., INC.	CRD# 6975	
B	04/01/1987 - 09/11/1987	D. H. BLAIR & CO., INC.	CRD# 6833	
B	08/22/1986 - 05/07/1987	SHEARSON LEHMAN BROTHERS INC.	CRD# 7506	
B	10/17/1984 - 08/26/1986	OPPENHEIMER & CO., INC.	CRD# 630	
B	09/23/1983 - 10/10/1984	SHEARSON LEHMAN/AMERICAN EXPRESS INC.	CRD# 7506	

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
12/2025 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BOSTON, MA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2011 - 12/2025	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	ROCKLAND, MA, 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.

HEADLINES
218 MAIN STREET
MASS

I'M THE PASSIVE OWNER OF THIS HAIR SALON. I DEVOTE 2 HOURS PER MONTH. I START 04/01/05 WITH NO POSSIBLE END DATE.



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
Criminal	2
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

Court Details: LAKELAND PLICE DEPARTMENT IN POLK COUNTY, FLORIDA
CASE #M077-000391-LD

Charge Date: 02/23/1977

Charge Details: FALSE REPORT/STATEMENT OF COMM. OF A CRIME

Felony?

Current Status: Final

Status Date: 03/14/1977

Disposition Details: MISDEMEANOR-\$52.00 FINE

Broker Statement Not Provided

Disclosure 2 of 2

Reporting Source: Individual

Court Details: SHERIFF'S OFFICE TALLAHASSEE,FLORIDA
78-1007

Charge Date: 10/28/1978

Charge Details: POSSESSION OF COCAIN,MARIJUANA

Felony?

Current Status: Final

Status Date: 05/14/1979

Disposition Details: THE POSSESSION OF COCAINE CHARGE WAS DISMISSED.



THE POSSESSION OF MARIJUANA WAS A MISDEMEANOR - ADJUDICATION WITHHELD - 12 MONTH PROBATION.

Broker Statement

Not Provided



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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO. INC

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$486,203.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #91-03846

Date Notice/Process Served: 02/13/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/1994

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provide

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO. INC

Allegations: CLIENT ALLEGES VIOLATION OF FLORIDA STATUTES, COMMON LAW FRAUD, NEGLIGENCE, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE AND RICO.

Product Type:

Alleged Damages: \$486,203.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-03846

Date Notice/Process Served: 02/13/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/1994

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$0.00

Firm Statement

[CUSTOMER], AN OWNER/OPERATOR OF A VERY SUCCESSFUL COMPUTER HARDWARE BUSINESS WHICH PROVIDED HIM WITH AN EXTRAORDINARY PERSONAL INCOME, WAS A VERY AGGRESSIVE OPTIONS TRADER TRANSACTING LARGE POSITIONS IN SEVERAL ISSUERS. [CUSTOMER'S] TRADING RESULTED IN EITHER VERY LARGE GAINS OR LOSSES PER TRANSACTION. OVERALL, [CUSTOMER] INCURRED LOSSES AT GRUNTAL IN EXCESS OF \$400,000. IN ADDITION TO TRADING OPTIONS AT GRUNTAL, HE ALSO TRADED OPTIONS AT CHARLES SCHWAB, INC. (DISCOUNT BROKER), PAINE WEBBER, INC., VANGUARD CAPITAL AND BEAR STEARNS, INC. IN A SIMILAR MANNER AND METHOD, AND ALL AT A NEGOTIATED REDUCED COMMISSION RATE. NEITHER GRUNTAL NOR O'NEIL EVER ENCOURAGED [CUSTOMER'S] TRADING. IN FACT, O'NEIL'S ONE AND ONLY COMMON LINK TO THE (5) DIFFERENT OPTIONS ACCOUNTS (PAINEWEBBER, SCHWAB, VANGUARD, BEAR STEARNS AND GRUNTAL) AND WAS SOLELY AND TOTALLY RESPONSIBLE FOR THE TRADING ACTIVITY AND RESULTING LOSSES IN ALL FIVE BROKERAGE HOUSES. DURING THE COURSE OF AN ARBITRATION HEARING BROUGHT BY [CUSTOMER] AGAINST ANOTHER BROKERAGE FIRM WHEREIN [CUSTOMER] ALLEGED VIRTUALLY THE IDENTICAL CLAIMS TO THOSE ALLEGED AGAINST GRUNTAL, [CUSTOMER] ADMITTED THAT "HE DID NOT SUE ANY OF HIS OTHER BROKER(S) "BECAUSE "THEY DID NOTHING WRONG". THIS MATTER WAS SETTLED FOR \$17,500 SOLELY BECAUSE THE ESTIMATED LEGAL FEES AND COSTS TO DEFEND WHAT WAS GOING TO BE A HEARING COVERING SEVERAL DAYS OF TESTIMONY WOULD HAVE FAR EXCEEDED THE AMOUNT [CUSTOMER] WAS WILLING TO ACCEPT AS FINAL SETTLEMENT OF HIS CLAIM. O'NEIL HAS NOT CONTRIBUTED, NOR HAS HE BEEN ASKED TO CONTRIBUTE TOWARD THE SETTLEMENT. IT WAS THE OPINION OF COUNSEL THAT [CUSTOMER'S] CLAIMS WERE TOTALLY WITHOUT MERIT (APPARENTLY SO DID [CUSTOMER] AS HE SETTLED FOR APPROXIMATELY \$.03 (THREE CENTS) ON EACH DOLLAR HE LOST) AND GOING TO ARBITRATON AND WINNING COULD NOT PRODUCE A BETTER ECONOMIC RESULT. NOT PROVIDED



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO. INC

Allegations: CLIENT ALLEGES VIOLATION OF FLORIDA STATUTES, COMMON LAW FRAUD, NEGLIGENCE, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND FAILURE TO SUPERVISE.

Product Type:

Alleged Damages: \$486,203.00

Customer Complaint Information**Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:**Settlement Amount:**

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 91-03846

Date Notice/Process Served: 02/13/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/1994

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$0.00

Broker Statement

SETTLED FOR THREE CENTS ON THE DOLLAR WHICH AMOUNTED TO \$17,000. I WAS NOT FINED, CENSURED AND DID NOT INCURR PENALTIES.
CLIENT WAS A VERY AGGRESSIVE OPTIONS TRADER HIS TRADES RESULTED IN LOSSES OF \$400,000. HE ALSO TRADED OPTIONS AT CHARLES SCHWAB, PAINE WEBBER, VANGUARD AND BEAR STERNS IN A SIMILAR MANNER AND SUSTAINED LOSSES THAT HE WAS SOLELY RESPONSIBLE FOR, I DID NONE OF WHAT THE CLIENT ALLEGED; EVERY ITEM WAS FALSE; CLAIMS WERE TOTALLY WITHOUT MERIT. I WAS NOT FOUND IN ANY VIOLATION OF ANY CLAIMS OR ANY SECURITY LAWS.



End of Report

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