IAPD Report

EUGENE L D'AMICO

CRD# 1196652

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

EUGENE L D'AMICO (CRD# 1196652)

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 **08/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/01/2008
IA	WELLS FARGO ADVISORS	CRD# 19616	05/02/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **22** 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
B	A. G. EDWARDS & SONS, INC.	4	UTICA, NY	06/01/1990 - 01/03/2008
B	FIRST ALBANY CORPORATION	298	NEW YORK, NY	10/19/1983 - 05/21/1990

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	4

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 **22** jurisdiction(s) and 6 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 Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B	FINRA	General Securities Representative	Approved	01/01/2008
B	FINRA	General Securities Sales Supervisor	Approved	01/01/2008
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	01/01/2008
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/01/2008
B	New York Stock Exchange	General Securities Representative	Approved	01/01/2008
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	04/23/2013
B	Arizona	Agent	Approved	01/01/2008

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	11/22/2017
B	California	Agent	Approved	04/10/2026
B	Colorado	Agent	Approved	10/18/2023
B	Florida	Agent	Approved	01/01/2008
IA	Florida	Investment Adviser Representative	Approved	02/13/2014
B	Georgia	Agent	Approved	02/15/2024
B	Illinois	Agent	Approved	01/01/2008
B	Maryland	Agent	Approved	06/16/2020
B	Massachusetts	Agent	Approved	06/02/2026
B	New Hampshire	Agent	Approved	01/01/2008
B	New Jersey	Agent	Approved	01/23/2008
IA	New Jersey	Investment Adviser Representative	Approved	05/02/2011
B	New York	Agent	Approved	01/01/2008
IA	New York	Investment Adviser Representative	Approved	07/27/2021
B	North Carolina	Agent	Approved	08/23/2016
B	Pennsylvania	Agent	Approved	11/23/2020
B	Rhode Island	Agent	Approved	05/26/2017
B	South Carolina	Agent	Approved	10/27/2020
B	Tennessee	Agent	Approved	08/07/2026

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	04/17/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	04/17/2026
B	Vermont	Agent	Approved	04/16/2026
B	Virginia	Agent	Approved	09/05/2019
B	West Virginia	Agent	Approved	11/24/2020

Branch Office Locations

WELLS FARGO ADVISORS
178 WOODS PARK DR
CLINTON, NY 13323

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/21/1992

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	10/15/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1983

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/01/1990 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	UTICA, NY
B	10/19/1983 - 05/21/1990	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	UTICA, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	UTICA, NY, 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.

BOY SCOUTS OF AMERICA REVOLUTIONARY TRAILS; INVESTMENT RELATED; UTICA,NY; FINANCE COMMITTEE MEMBER; START DATE 03/05/2014; NUMBER OF HOURS PER MONTH 2-5; NUMBER OF HOURS DURING TRADING 1-2; ACCESSING THE CURRENT INVESTMENT POLICY STATEMENT TO MAKE SURE INVESTMENTS ARE CONSISTENT WITH THE IPS, REVIEWING CURRENT CASH FLOW NEEDS, AND MEETING WITH THE ORGANIZATION'S FINANCIAL ADVISORS AND MONEY MANAGERS.

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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A. G. EDWARDS & SONS, INC.
Allegations:	ATTORNEY FOR CUSTOMER ALLEGED UNSUITABLE INVESTMENTS. (ACCOUNTS WERE OPENED APPROXIMATELY OCTOBER, 1999).
Product Type:	Equity - OTC
Alleged Damages:	$130,000.00

Customer Complaint Information

Date Complaint Received:	12/07/2004
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/21/2005
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.

Allegations:	BREACH OF FIDUCIARY DUTY; FRAUD; UNSUITABILITY; VIOLATION OF FEDERAL AND STATE SECURITIES LAWS; NEGLIGENCE
Product Type:	Other
Other Product Type(s):	COMMON STOCK
Alleged Damages:	$68,413.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #04-00918
Date Notice/Process Served:	02/11/2004
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	01/11/2005
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY CLAIMANT $10,000 AS COMPENSATORY DAMAGES AND SHALL PAY JOINTLY AND SEVERALLY TO CLAIMANT, A REFUND TOTALING $4,251, PLUS INTEREST.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A. G. EDWARDS & SONS, INC.
Allegations:	CLAIMANT ALLEGED MISREPRESENTATION, UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, FRAUD, OMISSIONS, NEGLIGENCE. (OCTOBER 1999-DECEMBER 2002.)
Product Type:	Equity - OTC
Alleged Damages:	$68,413.00

Customer Complaint Information

Date Complaint Received:	02/27/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/27/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #04-00918
Date Notice/Process Served:	02/27/2004
Arbitration Pending?	No
Disposition:	Award to Customer

Disposition Date:	01/11/2005
Monetary Compensation Amount:	$18,987.40
Individual Contribution Amount:	$2,800.00
Broker Statement	THE ARBITRATION PANEL AWARDED $10,000 COMPENSATORY DAMAGES TO CLAIMANT ALONG WITH $3,011 COMMISSION, $4,251 & $776 MARGIN AND INTEREST AND $300 FILING FEES. **ON FEBRUARY 28, 2005 AGE ISSUED A CHECK TO CLAIMANT FOR AN ADDITIONAL $549.40 WHICH REPRESENTS INTEREST THAT WAS SPECIFIED IN THE AWARD BUT NOT INCLUDED IN ORIGINAL PAYMENT.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANT ALLEGES UNSUITABLE INVESTMENTS, UNAUTHORIZED TRADING, INAPPROPRIATE INVESTMENT ADVICE; ALLEGES DAMAGES OF BETWEEN $160,000 AND $190,000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	03/10/1999
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/10/1999
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 99-00856
Date Notice/Process Served:	03/10/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/10/1999
Monetary Compensation Amount:	$140,000.00
Individual Contribution Amount:	$42,000.00
Broker Statement	THIS ARBITRATION WAS DISMISSED WITH PREJUDICE AGAINST EUGENE D'AMICO. A.G. EDWARDS & SONS, INC. ENTERED INTO A SETTLEMENT WITH A.R. DIGIMA, INC. WHEREBY A.G. EDWARDS & SONS, INC. PAID THE

SUM OF $140,000 TO A.R. DIGIMA. D'AMICO DID NOT PARTICIPATE IN THE SETTLEMENT.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED VIOLATIONS OF RULE 10(B)5, FRAUD, UNSUITABILITY, AS WELL AS VIOLATIONS OF CERTAIN STATE LAWS.

Product Type:

Alleged Damages: $360,000.00

Customer Complaint Information

Date Complaint Received: 01/15/1986

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.; 89-01906

Date Notice/Process Served: 12/12/1988

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/30/1991

Monetary Compensation Amount: $410,000.00

Individual Contribution Amount: $0.00

Firm Statement SETTLED IN THE AMOUNT OF $410,000.00. BROKER DID NOT PARTICIPATE IN THE SETTLEMENT.
THIS AMENDED FORM U-5 IS BEING FILED LATE DUE TO AN INADVERTENT OVERSIGHT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: PLAINTIFF CONTENDS THAT HE WAS MISLED AND PLACED IN AN UNSUITABLE INVESTMENT. HE CLAIMED THAT HE WANTED A SAFE INVESTMENT FOR SHORT TERM AND HE CLAIMED THAT HE WAS

	TOLD TO INVEST IN OEX OPTIONS AS A GUARANTEED INVESTMENT. THE PLAINTIFF ALLEGES DAMAGES OF APPROX. $360,000. HE ALSO SEEKS TREBLE DAMAGES UNDER RICO STATUTE.
Product Type:	
Alleged Damages:	$360,000.00

Customer Complaint Information

Date Complaint Received:	01/15/1986
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.; 89-01906
Date Notice/Process Served:	12/12/1988
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/30/1991
Monetary Compensation Amount:	$410,000.00
Individual Contribution Amount:	$0.00
Broker Statement	FIRST ALBANY CORP. SETTLED THE MATTER FOR $410,000. BROKER DID NOT PARTICIPATE IN THE SETTLEMENT. PLAINTIFF WAS A REFERRAL FROM HIS FATHER, A LONG STANDING CLIENT. PLANTIFF INDICATED A GOOD WORKING KNOWLEDGE OF MARKETS AND A LONG HISTORY OF INVESTING IN STOCKS, BONDS & COMMODITIES. THE OPTION ORDER WAS TAKEN, RISKS REVIEWED WITH PLAINTIFF, BY OFFICE MANAGER, BRUCE BALL.

End of Report

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