



## IAPD Report

# DOUGLAS RAYMOND KOENIG

CRD# 1220215

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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

### DOUGLAS RAYMOND KOENIG (CRD# 1220215)

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 **09/25/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	07/27/2012
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	07/27/2012

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **16** 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	MORGAN STANLEY SMITH BARNEY	149777	SANTA ROSA, CA	06/01/2009 - 08/03/2012
IA	MORGAN STANLEY SMITH BARNEY LLC	149777	SANTA ROSA, CA	06/01/2009 - 08/03/2012
B	MORGAN STANLEY & CO. INCORPORATED	8209	SANTA ROSA, CA	04/02/2007 - 06/01/2009

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 **16** 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>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	12/01/2021
<b>B</b>	FINRA	General Securities Representative	Approved	07/27/2012
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	07/30/2012
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	07/27/2012
<b>B</b>	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	07/27/2012
<b>B</b>	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/30/2012
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/27/2012
<b>B</b>	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/30/2012
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	07/27/2012
<b>B</b>	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b>	Arizona	Agent	Approved	02/13/2020
<b>B</b>	Arkansas	Agent	Approved	05/24/2017



## Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	07/27/2012
IA	California	Investment Adviser Representative	Approved	07/27/2012
B	Colorado	Agent	Approved	10/26/2016
B	Florida	Agent	Approved	08/17/2018
B	Idaho	Agent	Approved	02/08/2023
B	Iowa	Agent	Approved	09/26/2019
IA	Iowa	Investment Adviser Representative	Approved	09/30/2019
B	Maryland	Agent	Approved	04/10/2019
B	Massachusetts	Agent	Approved	04/04/2019
B	Montana	Agent	Approved	01/24/2017
B	Nevada	Agent	Approved	07/27/2012
IA	Oregon	Investment Adviser Representative	Approved	07/30/2012
B	Oregon	Agent	Approved	11/10/2016
B	Tennessee	Agent	Approved	10/18/2022
B	Texas	Agent	Approved	10/26/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	10/27/2016
B	Utah	Agent	Approved	06/07/2018
B	Washington	Agent	Approved	09/21/2016



## Qualifications

### Branch Office Locations

#### WELLS FARGO ADVISORS

1455 FIRST ST  
STE 201  
NAPA, CA 94559






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



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/05/1996

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	05/25/1989
	General Securities Representative Examination (S7)	Series 7	12/17/1983

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/04/1997
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/25/1984

### 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
B	06/01/2009 - 08/03/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SANTA ROSA, CA
IA	06/01/2009 - 08/03/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SANTA ROSA, CA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SANTA ROSA, CA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SANTA ROSA, CA
IA	08/24/1998 - 04/02/2007	MORGAN STANLEY	CRD# 7556	SANTA ROSA, CA
B	01/26/1984 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	SANTA ROSA, CA

### 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	NAPA VALLEY, CA, United States
07/2012 - 11/2016	WELLS FARGO ADVISORS	REGISTERED REP	Y	NAPA VALLEY, CA, 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.

No information reported.



## End of Report

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