



IAPD Report

THOMAS TURNER TATE

CRD# 1244268

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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

THOMAS TURNER TATE (CRD# 1244268)

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 **03/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **23** 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	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA	06/02/2009 - 01/03/2011
B	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA	06/01/2009 - 01/03/2011
B	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	ESCONDIDO, CA	07/12/1999 - 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?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3



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 **23** 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	11/30/2021
B FINRA	General Securities Representative	Approved	01/03/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B Alaska	Agent	Approved	04/02/2026
B Arizona	Agent	Approved	03/09/2018
B California	Agent	Approved	01/03/2011
IA California	Investment Adviser Representative	Approved	01/03/2011
B Colorado	Agent	Approved	03/11/2026
B Florida	Agent	Approved	01/03/2011
B Hawaii	Agent	Approved	01/26/2026



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	03/16/2026
B	Louisiana	Agent	Approved	08/01/2024
B	Minnesota	Agent	Approved	05/27/2025
B	Missouri	Agent	Approved	08/23/2011
B	Nevada	Agent	Approved	02/01/2024
B	New Jersey	Agent	Approved	07/29/2024
B	New York	Agent	Approved	01/08/2020
B	Ohio	Agent	Approved	05/22/2025
B	Oklahoma	Agent	Approved	06/05/2025
B	Oregon	Agent	Approved	12/15/2023
B	Pennsylvania	Agent	Approved	08/15/2024
B	South Carolina	Agent	Approved	04/29/2024
B	Tennessee	Agent	Approved	07/09/2019
B	Texas	Agent	Approved	01/03/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	10/28/2016
B	Utah	Agent	Approved	01/04/2023
B	Virginia	Agent	Approved	03/11/2026
B	Washington	Agent	Approved	01/24/2023



Qualifications

Branch Office Locations

WELLS FARGO ADVISORS
3505 SPORTS ARENA BLVD
STE B
SAN DIEGO, CA 92110

WELLS FARGO ADVISORS
16901 BERNARDO CENTER DR
SAN DIEGO, CA 92128

WELLS FARGO ADVISORS
4727 CLAIREMONT DR
STE B
SAN DIEGO, CA 92117



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
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	03/17/1984
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/1997
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 Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1984
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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	06/02/2009 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN DIEGO, CA
B	06/01/2009 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN DIEGO, CA
B	07/12/1999 - 06/01/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ESCONDIDO, CA
IA	05/12/1998 - 06/01/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ESCONDIDO, CA
B	06/06/1992 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	09/14/1989 - 06/06/1992	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	06/27/1986 - 09/12/1989	GLENFED BROKERAGE SERVICES	CRD# 13648	GLENDALE, CA
B	05/02/1984 - 04/17/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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	SAN DIEGO, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SAN DIEGO, 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.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors, LLC
Allegations:	Client alleged investment was misrepresented. (11/26/2014-7/31/2015)
Product Type:	Other: Structured Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Losses alleged, but unspecified, determination is that damages would not be less than \$5,000.
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:	09/29/2015
Complaint Pending?	No
Status:	Denied
Status Date:	01/21/2016
Settlement Amount:	

**Individual Contribution Amount:****Disclosure 2 of 3**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT ALLEGED THAT HIS BROKER RECOMMENDED THE SALE OF SOME MUTUAL FUNDS AND AN ANNUITY AND FAILED TO INFORM HIM OF THE POTENTIAL TAX IMPLICATIONS AND THAT AS A RESULT HE FAILED IN HIS ROLE TO PROVIDE ADVICE IN A PRUDENT, REASONABLE AND COMPREHENSIVE MANNER. (10/24/2011 - 10/28/2011)

Product Type: Annuity-Fixed

Alleged Damages: \$60,000.00

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: 09/17/2012

Complaint Pending? No

Status: Denied

Status Date: 11/08/2012

Settlement Amount:**Individual Contribution Amount:**

Broker Statement

I MET WITH THE CLIENT NUMEROUS TIMES AND WE HAD THOROUGH DISCUSSIONS REGARDING THE CLIENT'S FINANCIAL SITUATION, OBJECTIVES, TAX SITUATION, LIQUIDITY NEEDS, INVESTMENT EXPERIENCE, ETC. THE CLIENT EXPRESSED THE DESIRE TO SIMPLIFY HIS FINANCIAL SITUATION BY CONSOLIDATING HIS ACCOUNTS AT ONE FIRM. CLIENT PROVIDED NUMEROUS STATEMENTS INCLUDING HIS TAX FORMS. WHILE THE POTENTIAL SALE OF THE CLIENT'S EXISTING MUTUAL FUND AND ANNUITY WERE DISCUSSED, I ADVISED THE CLIENT THAT THERE COULD BE TAX IMPLICATIONS WITH THE LIQUIDATIONS AND THAT HE SHOULD DISCUSS THE MATTER WITH HIS TAX ADVISOR AND ATTORNEY PRIOR TO SELLING THE INVESTMENTS. THE CLIENT ULTIMATELY DECIDED TO SELL THE INVESTMENTS, BUT THE PROCEEDS WERE NOT TRANSFERRED TO MY FIRM.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GLENFED BROKERAGE SERVICES



Allegations: Unsuitable Investment Recommendation

Product Type:

Alleged Damages: \$24,000.00

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.: [Unknown Conversion; 91-02003](#)

Date Notice/Process Served: 05/23/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/11/1992

Monetary Compensation Amount: \$12,326.00

Individual Contribution Amount: \$0.00

Firm Statement \$12,326 awarded to customer in arbitration
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GLENFED BROKERAGE SERVICES

Allegations: CLIENT CLAIMED THAT AN UNSUITABLE INVESTMENT WAS MADE EVEN THOUGH THEY ADMITTED I GAVE THEM AN ANNUITY & U.S. GANT SECURITIES PROSPECTUS. THEY INSISTED ON HIGHED INCOME & CHOSE THE HIGH ACCOUNT FROM KEMPER.

Product Type: Mutual Fund(s)

Alleged Damages: \$24,000.00

Customer Complaint Information

Date Complaint Received: 05/23/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/23/1991



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE # 91-02003](#)

Date Notice/Process Served: 05/23/1991

Arbitration Pending? No

Disposition: Award to Applicant

Disposition Date: 03/11/1992

Monetary Compensation Amount: \$12,326.00

Individual Contribution Amount: \$0.00

Broker Statement

GLENFED BROKERAGE SERVICES (& ME IN THE PROCESS) HAD TO PAY THIS CLIENT \$12,000 (THEY SUED FROM \$24,000). EVEN THOUGH WE PROVED THAT WE DISCLOSED EVERYTHING & THAT I DID NOT ADVISE OR RECOMMEND THE HIGH YIELD ACCOUNT I STILL APPARENTLY SHOULD HAVE SOMEHOW TOLD THEM NOT TO INVEST THEIR MONEY (GBS AND S&L INVESTMENT PROGRAM DID NOT GIVE ADVISE TO THEM.) SEE ABOVE. ARBITION RULED PARTIALLY IN FAVOR OF THE CLIENT BY COMPROMISING ON THEIR ASKED FOR SETTLEMENT OF \$24,000. CLIENT BROUGHT HIGH YIELD ACCOUNT, THEN A NE TRUSTEE (CLIENT WAS A TRUST) TOOK OVER TO SELL OUT OF "JUMP BONDS" & BUY FOREIGN CURRENCY BONDS IN A MUTUAL FUND AT MERRILL (SHE COULD HAVE TRANSFERRED W/NO COST IN KEMPER BUT THAT APPARENTLY HAD NO LEAVING ON & THIS CASE THOUGHT IT SHOULD HAVE CLIENT CLAIMED UNSUITABLE INVESTMENT & GBS (PREVIOUS EMPLOYER) SETTLED FOR \$12,000 (CLIENT ASKED FOR \$29,000). ARBITER RULED THAT EVEN THOUGH EVERYTHING WAS DISCLOSED THE TRUST SHOULD NOT HAVE BROUGHT JUNK BONDS.



End of Report

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