IAPD Report

MICHAEL JAMES BOCK

CRD# 1261530

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

MICHAEL JAMES BOCK (CRD# 1261530)

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 **11/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	06/20/2018
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	06/20/2018

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **35** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL	04/07/2009 - 06/22/2018
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL	04/02/2009 - 06/22/2018
IA	CITIGROUP GLOBAL MARKETS INC.	7059	CORAL GABLES, FL	07/30/2004 - 04/21/2009

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
Criminal	1
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 **35** 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	12/02/2021
B	FINRA	General Securities Representative	Approved	06/20/2018
B	NYSE American LLC	General Securities Representative	Approved	06/20/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/20/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	06/20/2018
B	New York Stock Exchange	General Securities Representative	Approved	06/20/2018
B	Alabama	Agent	Approved	06/21/2018
B	Alaska	Agent	Approved	12/02/2025
B	Arizona	Agent	Approved	06/20/2018
B	California	Agent	Approved	06/21/2018
B	Colorado	Agent	Approved	06/25/2018
B	Connecticut	Agent	Approved	06/21/2018
B	Delaware	Agent	Approved	06/20/2018

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	06/20/2018
B	Florida	Agent	Approved	06/21/2018
IA	Florida	Investment Adviser Representative	Approved	06/21/2018
B	Georgia	Agent	Approved	06/21/2018
B	Illinois	Agent	Approved	06/21/2018
B	Indiana	Agent	Approved	06/22/2018
B	Kentucky	Agent	Approved	06/25/2018
B	Louisiana	Agent	Approved	06/20/2018
B	Maryland	Agent	Approved	06/21/2018
B	Massachusetts	Agent	Approved	01/23/2025
B	Michigan	Agent	Approved	06/20/2018
B	Missouri	Agent	Approved	02/04/2019
B	Nebraska	Agent	Approved	12/01/2025
B	Nevada	Agent	Approved	06/20/2018
B	New Jersey	Agent	Approved	06/20/2018
B	New Mexico	Agent	Approved	06/20/2018
B	New York	Agent	Approved	06/20/2018
B	North Carolina	Agent	Approved	06/20/2018
B	North Dakota	Agent	Approved	10/18/2021

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	06/20/2018
B	Oregon	Agent	Approved	07/20/2018
B	Pennsylvania	Agent	Approved	06/20/2018
B	Rhode Island	Agent	Approved	06/25/2018
B	South Carolina	Agent	Approved	06/25/2018
B	Tennessee	Agent	Approved	06/20/2018
B	Texas	Agent	Approved	06/20/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	06/20/2018
B	Utah	Agent	Approved	06/20/2018
B	Virginia	Agent	Approved	06/20/2018
B	Wisconsin	Agent	Approved	06/28/2018

Branch Office Locations

WELLS FARGO ADVISORS
1675 N MILITARY TRAIL STE 500
BOCA RATON, FL 33486

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	06/01/1984
B	General Securities Representative Examination (S7)	Series 7	04/14/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/05/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/02/1984

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
IA	04/07/2009 - 06/22/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMI, FL
B	04/02/2009 - 06/22/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMI, FL
IA	07/30/2004 - 04/21/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CORAL GABLES, FL
B	07/16/2004 - 04/21/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CORAL GABLES, FL
IA	01/14/1999 - 07/19/2004	MORGAN STANLEY	CRD# 7556	BOCA RATON, FL
B	01/09/1999 - 07/19/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	09/21/1994 - 01/11/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/11/1988 - 09/15/1994	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/23/1984 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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
06/2018 - Present	Wells Fargo Clearing Services, LLC	Registered Rep	Y	Boca Raton, FL, United States
12/2009 - 06/2018	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	CORAL GABLES, FL, United States
04/2009 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	CORAL GABLES, FL, 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.

CO-TRUSTEE FOR PARENT'S TRUST, INV RELATED, BOCA RATON, FL, START: 4/9/2020, 1 HR/MONTH, 0 HRS DURING

Registration & Employment History

OTHER BUSINESS ACTIVITIES

TRADING.

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	1
Customer Dispute	4

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 1

Reporting Source:	Individual
Court Details:	CITY AND COUNTY DENVER, COLORADO #82CR1358
Charge Date:	04/01/1982
Charge Details:	CHARGE OF POSSESSION OF SUSPECTED CONTROLLED SUBSTANCE
Felony?	
Current Status:	Final
Status Date:	09/17/1984
Disposition Details:	DISMISSED
Broker Statement	THE CHARGE WAS DISMISSED

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:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW, INC.
Allegations:	CUSTOMER ALLEGES THAT INVESTMENTS IN HIS ACCOUNT WERE NOT IN ACCORD WITH HIS INVESTMENT OBJECTIVES. DAMAGES UNSPECIFIED.
Product Type:	Equity - OTC
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	10/20/2004
Complaint Pending?	No
Status:	Denied
Status Date:	03/17/2005
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DEAN WITTER
Allegations:	THE CUSTOMER COMPLAINED THAT THE THREE SECURITIES WERE DOWN IN VALUE. THE CUSTOMER HAS TAKEN NO OTHER ACTION.
Product Type:	Equity - OTC
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	10/20/2004
Complaint Pending?	No
Status:	Denied
Status Date:	03/17/2005
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES
Allegations:	PRUDENTIAL SECURITIES RECEIVED A COMPLAINT ALLEGING THAT MR.BOCK PROMISED SUBSTANTIAL PROFITS BUT INSTEAD THE STOCKS PURCHASED DECLINED IN VALUE. ALLEGED DAMAGES LOSSES OF $50,000.
Product Type:	
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	01/26/1999
Complaint Pending?	No
Status:	Denied
Status Date:	02/25/1999
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLAIM REJECTED IN WRITING BY PRUDENTIAL SECURITIES AND SUBSEQUENTLY WITHDRAWN IN WRITING BY CLIENT. N/A

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES
Allegations:	PRUDENTIAL SECURITIES RECEIVED A COMPLAINT ALLEGING THAT MR. BOCK PROMISSED SUBSTANTIAL PROFITS BUT INSTEAD THE STOCK PURCHASED DECLINE IN VALUE. ALLEGED LOSSES OF $50,000.
Product Type:	
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	01/26/1999
Complaint Pending?	No
Status:	Denied
Status Date:	02/25/1999
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	COMPLAINT WITHDRAWN AGAINST MR BOCK. THIS COMPLAINT WAS PRODUCT RELATED ONLY. THE CLIENT HAS WITHDRAWN THE COMPLAINT IN WRITING TO PRUDENTIAL FEB 23, 1999. ADDITIONALLY THE CLIENT HAS CONTINUED TO DO BUSINESS WITH MR. BOCK AT HIS NEW FIRM MORGAN STANLEY DEAN WITTER.

Disclosure 3 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS
Allegations:	MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY
Product Type:	
Alleged Damages:	$61,234.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-05114
Date Notice/Process Served:	01/28/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/11/1995
Disposition Detail:	PENDING Not Provide

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS
Allegations:	MISREPRESENTATION, FRAUD, RICO, FEDERAL AND STATE SECURITIES LAW VIOLATIONS, UNSUITABLE TRADES, BREACH OF CONTRACT AND FIDUCIARY/AGENCY LAW. CLAIMANTS ALLEGED THAT CERTAIN PURCHASES AND SALES OF SECURITIES RESULTED IN LOSSES OF $61,234 PLUS
Product Type:	
Alleged Damages:	$61,234.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/11/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 93-05114
Date Notice/Process Served:	01/28/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/11/1995
Monetary Compensation Amount:	$19,500.00
Individual Contribution Amount:	$0.00
Firm Statement	MATTER WAS SETTLED FOR $19,500.00 BROKER DID NOT CONTRIBUTE TO THE SETTLEMENT. CONTACT:WILLIAM OLSHAN (212)526-2708

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS
Allegations:	MISREPRESENTATION, BREACH OF FIDUCIARY DUTY ACCT RELATED NEGLIGENCE, SUITABILITY ASKED 183,702.00
Product Type:	
Alleged Damages:	$61,234.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/11/1995
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 93-05114
Date Notice/Process Served:	01/28/1994
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	07/11/1995
Monetary Compensation Amount:	$19,500.00
Individual Contribution Amount:	$0.00
Broker Statement	MATTER WAS SETTLED FOR $19,500. BROKER DID NOT CONTRIBUTE TO THE SETTLEMENT LEHMNA BROTHERS FOUND NO LIABILITY ATTRIBUTABLE TO THE BROKER. LEHMAN DECIDED TO SETTLE THIS MATTER FOR BOTH TIME AND ECONOMIC EFFICIENCY. MR BOCK WAS NOT ASKED TO CONTRIBUTE TOWARD THIS SETTLEMENT IN ANY MANNER

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	ALLEGED VIOLATIONS OF ERISA AND UNSUITABILITY
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	09/04/1992
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	U.S. DISTRICT; DISTRICT OF CO; 92.F-42
Date Notice/Process Served:	01/14/1992
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	09/04/1992
Broker Statement	SHEARSON LEHMAN BROTHERS CONTRIBUTED 12,363.30 TO SETTLEMENT. BROKER WAS NEVER MADE A PARTY TO THE LAWSUIT INVESTMENTS IN QUESTION WERE MADE BY ASPEN AIRWAYS (DEFENDENT) BEFORE MR BOCK WAS ASSOCIATED WITH DEFENDENT`S 401K PLAN AS THE ADVISOR.

End of Report

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