IAPD Report

DAVID ALAN AUGUSTAVO

CRD# 1296764

Section Title | Page(s)

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

DAVID ALAN AUGUSTAVO (CRD# 1296764)

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 **05/07/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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 ADVISORS	19616	SEATTLE, WA	07/01/2003 - 05/07/2026
IA	PRUDENTIAL SECURITIES INCORPORATED	7471	SEATTLE, WA	09/27/1994 - 07/01/2003

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
Regulatory Event	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 not currently registered as an Investment Adviser Representative.

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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/10/1992

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	07/01/2003 - 05/07/2026	WELLS FARGO ADVISORS	CRD# 19616	SEATTLE, WA
IA	09/27/1994 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	SEATTLE, WA

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	SEATTLE, WA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SEATTLE, WA, 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.

1.EAST KING COUNTY SOCCER, NOT INVESTMENT RELATED, SEATTLE WA, REFEREE, 2 HOURS/WEEK 6 MONTHS/YEAR, NOT DURING BUSINESS HOURS.
2. SEATTLE SOCCER REFEREE'S ASSOCIATION, NOT INVESTMENT RELATED, SEATTLE WA, REFEREE, BEGAN 2002, 4-6 HOURS/WEEK 9 MONTHS/YEAR, NOT DURING BUSINESS HOURS.
3. NORTH CHAPTER SOCCER ASSOCIATION, NOT INVESTMENT RELATED, SEATTLE WA, REFEREE, 4 HOURS/WEEK, NOR DURING BUSINESS HOURS.
4. GREATER SEATTLE SOCCER LEAGUE, NOT INVESTMENT RELATED, SEATTLE WA, REFEREE, 6 HOURS/WEEK, NOT DURING BUSINESS HOURS.
5. PACIFIC NW BASKETBALL OFFICIALS ASSOC; NOT INVESTMENT RELATED; SHORELINE, WA; HIGH SCHOOL REFEREE; START 12/1/2008; 25 HRS MONTH; 0 DURING BUSINESS; DUTIES - REFEREE
6. WASHINGTON SOCCER REFEREES; NOT INVESTMENT RELATED; SEATTLE, WA; SPORTS OFFICIATING; REFEREE; START 9/15/2013; 40 HOURS PER MONTH; 0 DURING TRADING; DUTIES ARE OFFICIATING SOCCER GAMES.
7. WASHINGTON OFFICIALS ASSOC; NOT INV RELATED; RENTON, WA; REF EVALUATION & SITE COORDINATOR; START 3/21/2016; 12 HOURS PER MONTH, 0 DURING TRADING; EVALUATING SOCCER REFEREES AND OVERSEEING HIGH SCHOOL SOCCER SEMI-FINALS AND FINALS.
8. CYO (CATHOLIC YOUTH ASSOC); NOT INV RELATED; SEATTLE, WA; YOUTH BASKETBALL REFEREE; START 2000; 12 HOURS PER MONTH, 0 DURING TRADING; REFEREE 5TH-8TH GRADE BASKETBALL.
9. WASHINGTON OFFICIALS ASSOCIATION; NOT INVESTMENT RELATED; SHORELINE, WA; OFFICIAL/MENTOR; START 5/27/2016; 10 HOURS PER MONTH/0 DURING 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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/02/1994
Docket/Case Number:	C3B940004
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/31/1994
Sanctions Ordered:	Censure Monetary/Fine $8,311.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. C3B940004 FILED FEBRUARY 2, 1994 BY DISTRICT NO. 3 AGAINST RESPONDENT DAVID ALAN AUGUSTAVO ALLEGING

VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 15(b) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT AUGUSTAVO EXECUTED IN THE ACCOUNT OF A PUBLIC CUSTOMER 61 PURCHASES AND 62 SALES TRANSACTIONS EXERCISING DISCRETION GRANTED PURSUANT TO ORAL AUTHORITY WITHOUT OBTAINING PRIOR WRITTEN DISCRETIONARY AUTHORIZATION FROM THE CUSTOMER AND WITHOUT ACCEPTANCE OF SUCH
ACCOUNT BY HIS MEMBER FIRM.

ON AUGUST 31, 1994, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT AUGUSTAVO WAS ISSUED; THEREFORE, HE IS CENSURED AND FINED $8,311.

$8,311 PAID ON 9/23/94 INVOICE #94-3B-551

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/02/1994
Docket/Case Number:	C3B940004
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	USE OF DISCRETION UPON ORAL AUTHORITY OF CUSTOMER WITHOUR WRITTEN AUTHORIZATION
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/31/1994
Sanctions Ordered:	Censure Monetary/Fine $8,311.00
Other Sanctions Ordered:	
Sanction Details:	FINE OF $8,311.
Firm Statement	MR. AUGUSTAVO HAD ORAL AUTHORITY TO USE DISCRETION IN THE ACCOUNT OF A CLIENT WHO WAS A CLOSE, LONG-TIME FRIEND AND NEGLECTED TO HAVE THE CLIENT SIGN DISCRETIONARY DOCUMENTATION. THE NASD FOUND THAT THE TRANSACTIONS WERE NOT UNAUTHORIZED, BUT MERELY LACKED WRITTEN DISCRETIONARY AUTHORIZATION. CONTACT:CLIFTON STONE. PHONE:(212)816-8049.

Reporting Source:	Individual

Regulatory Action Initiated By:	NASD DBCC, (DISTRICT NO. 3)
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/02/1994
Docket/Case Number:	C3B940004
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	VIOLATIONS OF ARTICLE III, SECTION 1 AND 15(B) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT AUGUSTAVO EXECUTED IN THE ACCOUNT OF A PUBLIC CUSTOMER 61 PURCHASES AND 62 SALES TRANSACTIONS EXERCISING DISCRETION GRANTED PURSUANT TO ORAL, AUTHORITY WITHOUT OBTAINING PRIOR WRITTEN DISCRETIONARY AUTHORIZATION FROM THE CUSTOMER AND WITH ACCPETANCE OF SUCH ACCOUNT BY HIS FIRM.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/31/1994
Sanctions Ordered:	Censure Monetary/Fine $8,311.00
Other Sanctions Ordered:	
Sanction Details:	CENSURED AND FINED $8,311
Broker Statement	Not Provided

End of Report

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