



## IAPD Report

# TROY ANTHONY LITLE

CRD# 1364827

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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

### TROY ANTHONY LITLE (CRD# 1364827)

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 **11/22/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	03/11/2024
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	03/11/2024

### QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **15** 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	UBS FINANCIAL SERVICES INC.	8174	FRESNO, CA	07/08/1997 - 03/22/2024
B	UBS FINANCIAL SERVICES INC.	8174	FRESNO, CA	09/17/1990 - 03/22/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	05/23/1985 - 09/19/1990

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
Regulatory Event	1
Customer Dispute	2



## 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 **15** jurisdiction(s) and 11 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 BZX Exchange, Inc.	General Securities Representative	Approved	03/11/2024
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	03/11/2024
<b>B</b> FINRA	General Securities Representative	Approved	03/11/2024
<b>B</b> NYSE American LLC	General Securities Representative	Approved	03/11/2024
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	03/11/2024
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	03/11/2024
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	03/11/2024
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	03/11/2024
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	03/11/2024
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	03/11/2024
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	03/11/2024
<b>B</b> Alabama	Agent	Approved	03/22/2024
<b>B</b> Arizona	Agent	Approved	03/11/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> California	Agent	Approved	03/11/2024
<b>IA</b> California	Investment Adviser Representative	Approved	03/11/2024
<b>B</b> Colorado	Agent	Approved	03/11/2024
<b>B</b> District of Columbia	Agent	Approved	03/11/2024
<b>B</b> Florida	Agent	Approved	03/12/2024
<b>B</b> Georgia	Agent	Approved	03/11/2024
<b>B</b> Idaho	Agent	Approved	03/12/2024
<b>B</b> Indiana	Agent	Approved	03/18/2024
<b>B</b> Montana	Agent	Approved	03/13/2024
<b>B</b> Nevada	Agent	Approved	03/11/2024
<b>B</b> North Carolina	Agent	Approved	03/11/2024
<b>B</b> South Carolina	Agent	Approved	03/11/2024
<b>B</b> Texas	Agent	Approved	03/13/2024
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	03/11/2024
<b>B</b> Washington	Agent	Approved	03/22/2024

### Branch Office Locations

**WELLS FARGO ADVISORS**  
 6781 N PALM AVE STE 201  
 FRESNO, CA 93704



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> National Commodity Futures Examination (S3)	Series 3	10/17/2005
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<b>B</b> General Securities Representative Examination (S7)	Series 7	05/18/1985
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#### State Securities Law Exams

Exam	Category	Date
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1985
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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	07/08/1997 - 03/22/2024	UBS FINANCIAL SERVICES INC.	CRD# 8174	FRESNO, CA
B	09/17/1990 - 03/22/2024	UBS FINANCIAL SERVICES INC.	CRD# 8174	FRESNO, CA
B	05/23/1985 - 09/19/1990	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
03/2024 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FRESNO, CA, United States
09/1990 - 01/2024	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	FRESNO, 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
Regulatory Event	1
Customer Dispute	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	10/01/2002
<b>Docket/Case Number:</b>	C01020015
<b>Employing firm when activity occurred which led to the regulatory action:</b>	UBS PAINWEBBER INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD RULES 2110 AND 2210(A) AND (B) - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE WITHOUT PRIOR APPROVAL OF HIS MEMBER FIRM, DISTRIBUTED SALES LITERATURE IN THE FORM OF A LETTER TO PUBLIC CUSTOMERS CONCERNING THE ONCORE EXTRA VARIABLE ANNUITY WHICH WAS AN INCOMPLETE DESCRIPTION OF THE PRODUCT'S FEATURES AND THEREOF CONTAINED UNWARRANTED, EXAGGERATED AND MISLEADING STATEMENTS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	10/01/2002



**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. RESPONDENT'S SUSPENSION WILL BE DEEMED ALREADY SERVED SINCE HE WAS PREVIOUSLY SUSPENDED TO TEN BUSINESS DAYS BY HIS MEMBER FIRM.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 10/01/2002

**Docket/Case Number:** C01020015

**Employing firm when activity occurred which led to the regulatory action:** UBS PAINWEBBER INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULES 2110 AND 2210(A) AND (B) - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE WITHOUT PRIOR APPROVAL OF HIS MEMBER FIRM, DISTRIBUTED SALES LITERATURE IN THE FORM OF A LETTER TO PUBLIC CUSTOMERS CONCERNING THE ONCORE EXTRA VARIABLE ANNUITY WHICH WAS AN INCOMPLETE DESCRIPTION OF THE PRODUCT'S FEATURES AND THEREOF CONTAINED UNWARRANTED, EXAGGERATED AND MISLEADING STATEMENTS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 10/01/2002

**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENT WAS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. RESPONDENT'S SUSPENSION WAS DEEMED ALREADY SERVED SINCE HE WAS PREVIOUSLY SUSPENDED TO TEN BUSINESS DAYS BY HIS MEMBER FIRM.

**Broker Statement** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE WITHOUT PRIOR APPROVAL OF HIS MEMBER FIRM, DISTRIBUTED SALES LITERATURE IN THE FORM OF A LETTER TO PUBLIC CUSTOMERS CONCERNING THE ONCORE EXTRA VARIABLE ANNUITY WHICH WAS AN INCOMPLETE DESCRIPTION OF THE PRODUCT'S FEATURES AND THEREFORE



CONTAINED MISLEADING STATEMENTS. RESPONDENT WAS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. RESPONDENT'S SUSPENSION WAS DEEMED ALREADY SERVED SINCE HE WAS PREVIOUSLY SUSPENDED TO TEN BUSINESS DAYS BY HIS MEMBER FIRM.



## 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 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER INC.

**Allegations:** CLIENTS ALLEGE THAT PURCHASE OF CMO`S (12/92) WAS AN INAPPROPRIATE INVESTMENT FOR THEM. CLIENTS ALLEGE PAPER LOSSES OF \$15,000.00.

**Product Type:** Other

**Alleged Damages:** \$15,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/11/1996

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/30/1996

**Settlement Amount:** \$10,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MATTER SETTLED FOR \$10,000.00.  
NOT PROVIDED

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** ALLEGED UNAUTHORIZED TRADING AND UNSUITABLE PURCHASES OF HIGH YIELD CORPORATE BONDS AND A FUND IN HER ACCOUNT. SHE ASKED FOR HER ORIGINAL PRINCIPAL PLUS REASONABLE INTEREST.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 10/16/1990

**Complaint Pending?** No



**Status:** Settled  
**Status Date:**  
**Settlement Amount:** \$15,216.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** A SETTLEMENT OF \$15,216 WAS REACHED. LITLE DID NOT CONTRIBUTE TOWARDS THE SETTLEMENT.  
Not Provided

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** UNAUTHORIZED TRADING NAD UNSUITABLE PURCHASES OF HIGH YIELD CORPORATE BONDS AND A FUND IN THE CUTOMER'S ACCOUNT. THIS COMPLAINT WAS REGISTERED WITH MERRILL LYNCH SUBSEQUENT TO MR. LITLE'S VOLUNTARY TERMINATION FROM THAT FIRM.

**Product Type:** Other

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 10/16/1990

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/15/1990

**Settlement Amount:** \$15,216.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MERRILL LYNCH SETTLED WITH THE CUSTOMER IN THE AMOUNT OF \$15,216. MR. LITLE DID NOT CONTRIBUTE TOWARD THE SETTLEMENT.  
I AM UNABLE TO RESPOND TO THE ABOVE ALLEGATION AS I WAS NEVER FORMALLY CONTACTED BY MERRILL AND HAVE NO RECORDS TO REVIEW THE ACCOUNT. I WAS UNAWARE OF A SETTLEMENT UNTIL CONTACTED BY THE NASD. TO THE BEST OF MY RECOLLECTION THE LAST TRANSACTION OCCURED IN THIS ACCOUNT APPROXIMATELY NINE MONTHS AGO AND MY LAST CONTACT WITH THE CLIENT WAS IN AUGUST PRIOR TO LEAVING MERRILL LYNCH. AT THAT TIME SHE EXPRESSED NO DISATISFACTION OR CONCERN ABOUT HER ACCOUNT; NOR HAD SHE DURING THE FOUR YEARS THAT I SERVED HER. AS OF THIS DATE I HAVE BEEN UNSUCCESSFUL IN SECURING A COPY OF THE COMPLAINT.



## End of Report

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