



IAPD Report

JOSEPH ANTHONY VIEIRA

CRD# 1410092

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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

JOSEPH ANTHONY VIEIRA (CRD# 1410092)

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 **03/21/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	08/10/1990
IA	WELLS FARGO ADVISORS	CRD# 11025	06/21/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	BLINDER, ROBINSON & CO., INC.	5096	LOCATION	09/25/1985 - 10/18/1990

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
Criminal	3
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 **26** jurisdiction(s) and 1 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#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/10/1990
B	FINRA	General Securities Principal	Approved	10/11/1990
B	Alaska	Agent	Approved	02/10/2005
B	Arizona	Agent	Approved	01/06/1998
B	California	Agent	Approved	08/09/1990
B	Colorado	Agent	Approved	08/13/1990
B	Connecticut	Agent	Approved	08/10/1990
B	Delaware	Agent	Approved	06/24/2014
B	Florida	Agent	Approved	08/16/1990
IA	Florida	Investment Adviser Representative	Approved	06/21/2006
B	Georgia	Agent	Approved	08/14/1990
B	Illinois	Agent	Approved	08/20/1990
B	Indiana	Agent	Approved	08/24/1990



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	09/02/2020
B Maryland	Agent	Approved	08/20/1990
B Massachusetts	Agent	Approved	01/30/1998
B Michigan	Agent	Approved	09/14/1990
B Minnesota	Agent	Approved	01/07/1998
B Nevada	Agent	Approved	01/30/1998
B New Hampshire	Agent	Approved	03/20/1998
B New Jersey	Agent	Approved	08/10/1990
B New York	Agent	Approved	08/29/1990
B North Carolina	Agent	Approved	01/19/1994
B North Dakota	Agent	Approved	05/27/2017
B Pennsylvania	Agent	Approved	09/11/1990
B Rhode Island	Agent	Approved	09/02/1998
B South Carolina	Agent	Approved	09/17/1990
B Virginia	Agent	Approved	09/04/1990
B Washington	Agent	Approved	01/02/1998

Branch Office Locations

WELLS FARGO ADVISORS

7301 WILES RD
[SATELLITE]
CORAL SPRINGS, FL 33067




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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/15/1987

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/21/1985

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/19/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/30/1985

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	09/25/1985 - 10/18/1990	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

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
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	POMPANO BEACH, 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.

MEDITERRANEAN GROUP INC, INV RELATED, CORAL SPRINGS, FL, 100% OWNERSHIP, START 2/1/1997, 172 HOURS PER MONTH, 8 HOURS DURING TRADING, FINET PRACTICE.



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	3
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 3

Reporting Source:	Individual
Court Details:	POMPANO BEACH POLICE DEPARTMENT
Charge Date:	03/13/1976
Charge Details:	CHARGE WITH MISDEAMEANOR DISORDERLY INTOXICATION AND CHARGED WITH FELONY FOR RESISTING ARREST. PLED GUILTY TO MISDEMEANOR. FELONY CHARGES, NOLLE PROS (CHARGES DROPPED).
Felony?	Yes
Current Status:	Final
Status Date:	03/20/1976
Disposition Details:	PLEAD GUILTY, FINED \$300.00

Disclosure 2 of 3

Reporting Source:	Individual
Court Details:	FT. LAUDERDALE POLICE DEPARTMENT CHARGED WITH A MISDEMEANOR FOR GIVING FALSE INFORMATION PERTAINING TO AGE-DISORDERLY CONDUCT AND RESISTING ARREST-PLEAD GUILTY-RECEIVED 15 DAYS
Charge Date:	09/01/1968
Charge Details:	DAYS. FT. LAUDERDALE JAIL.
Felony?	No
Current Status:	Final
Status Date:	10/01/1968
Disposition Details:	RECEIVED 15 DAYS



Broker Statement IN REFERENCE TO ABOVE-22J GILBERT BONDS OF FT.LAUD-PAID OUT BOND FOR ABOVE.

Disclosure 3 of 3

Reporting Source: Individual
Court Details: OAKLAND PARK-POLICE-DEPT.
NOT PROVIDED
Charge Date: 08/01/1969
Charge Details: STOLE ONE PAIR OF WORK SHOES FROM ZAYRES DEPT. STORE CITY OF OAKLAND PARK CHARGES WITH MISDEMEANOR PETTY LARCENY PLEAD GUILTY \$150.00 FINE.
Felony? No
Current Status: Final
Status Date: 08/01/1969
Disposition Details: \$150 FINE
Broker Statement CONVICTED OF SHOPLIFTING AS A TEENAGER.



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:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO FINANCIAL NETWORK, LLC
Allegations:	ATTORNEY ALLEGES THAT CLIENT HAS LIMITED INVESTMENT EXPERIENCE AND ACCOUNT LACKED A PROPER ALLOCATION. INSTEAD, THE ACCOUNT WAS CONCENTRATED IN BELOW INVESTMENT GRADE DEBT BOND FUNDS. THE REMAINDER WAS INVESTED IN CLOSED END FUNDS AND PREFERRED STOCKS. AS A RESULT CLIENT LOST APPROXIMATELY \$123,143 UNNECESSARILY. (01/23/2007-05/06/2011)
Product Type:	Mutual Fund
Alleged Damages:	\$123,413.00
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:	01/09/2012
Complaint Pending?	No
Status:	Settled
Status Date:	04/11/2012
Settlement Amount:	\$20,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	WITHOUT ADMITTING FAULT OR LIABILITY THE FIRM REACHED A BUSINESS DECISION TO SETTLE THIS MATTER IN THE AMOUNT OF \$20,000.

Disclosure 2 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC (F/K/A FIRST UNION SECURITIES FINANCIAL NETWORK INC.)
Allegations:	BREACH OF CONTRACT, FRAUD AND MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, NEGLIGENCE.
Product Type:	Other



Other Product Type(s): STOCK
Alleged Damages: \$314,456.40

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-04227](#)

Date Notice/Process Served: 06/14/2004

Arbitration Pending? No

Disposition: Other

Disposition Date: 04/05/2006

Disposition Detail: STIPULATED AWARD ISSUED: CLAIMANT'S CLAIMS ARE DISMISSED IN THEIR ENTIRETY WITH PREJUDICE. AFTER MEDIATION, THE PARTIES REACHED A SETTLEMENT THAT FULLY SETTLED ALL CLAIMS BY AND BETWEEN THEM IN WHICH CLAIMANT AGREED TO DISMISS ALL CLAIMS WITH PREJUDICE AND AGREED TO SUBMIT THE STIPULATED AWARD.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES FINANCIAL NETWORK, LLC

Allegations: CLAIMANT ALLEGES THAT FIRM AND FINANCIAL ADVISOR RECOMMENDED AND SOLD UNSUITABLE INVESTMENTS. ALLEGED DAMAGES OF \$314,456.40.

Product Type: Equity - OTC

Alleged Damages: \$314,456.40

Customer Complaint Information

Date Complaint Received: 06/23/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/23/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASDR CASE NO. 04-04227](#)

Date Notice/Process Served: 06/23/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/10/2005

Monetary Compensation Amount: \$37,000.00



Individual Contribution Amount: \$0.00

Broker Statement THIS ARBITRATION WAS SETTLED IN THE AMOUNT OF \$37,000.00.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JWGENESIS FINANCIAL SERVICES, INC.

Allegations: CHURNING, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, UNSUITABLE RECOMMENDATIONS, BREACH OF CONTRACT, UNAUTHORIZED TRADES

Product Type: Equity - OTC

Other Product Type(s): & OPTIONS

Alleged Damages: \$138,000.00

Customer Complaint Information

Date Complaint Received: 10/09/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/09/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 01-03018.

Date Notice/Process Served: 10/09/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/06/2002

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Broker Statement FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM OR MR. VIEIRA, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$45000.00.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORPORATE SECURITIES GROUP



Allegations: CUSTOMER CLAIMED UNAUTHORIZED AND UNSUITABLE TRADES WHILE EMPLOYED AT CORPORAT E SECURITIES GROUP

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 02/18/1999

Complaint Pending? No

Status: Denied

Status Date: 03/26/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIMED WAS DENIED AS BEING UNFOUNDED.
NOT PROVIDED



End of Report

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