



IAPD Report

THOMAS EINAR GUNNERSEN

CRD# 1500400

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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 EINAR GUNNERSEN (CRD# 1500400)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	05/05/2017
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	05/05/2017

QUALIFICATIONS

This representative is currently registered in **6** 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
IA	UBS FINANCIAL SERVICES INC.	8174	LONE TREE, CO	06/26/2006 - 05/16/2017
B	UBS FINANCIAL SERVICES INC.	8174	LONE TREE, CO	01/13/2006 - 05/16/2017
B	EDWARD JONES	250	ENNIS, TX	05/29/1998 - 01/18/2006

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 **26** 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	05/05/2017
B	NYSE American LLC	General Securities Representative	Approved	05/05/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/05/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	05/05/2017
B	New York Stock Exchange	General Securities Representative	Approved	05/05/2017
B	Arizona	Agent	Approved	03/20/2024
B	California	Agent	Approved	03/05/2024
B	Colorado	Agent	Approved	05/05/2017
IA	Colorado	Investment Adviser Representative	Approved	05/05/2017
B	Florida	Agent	Approved	06/28/2017
B	Illinois	Agent	Approved	03/13/2024
B	Indiana	Agent	Approved	03/07/2024



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	12/04/2020
B	Kentucky	Agent	Approved	12/20/2023
B	Louisiana	Agent	Approved	03/14/2024
B	Maine	Agent	Approved	03/08/2024
B	Massachusetts	Agent	Approved	03/08/2024
B	Nevada	Agent	Approved	03/08/2024
B	New Jersey	Agent	Approved	12/16/2021
B	New Mexico	Agent	Approved	05/05/2017
B	New York	Agent	Approved	05/05/2017
B	North Carolina	Agent	Approved	05/05/2017
B	Ohio	Agent	Approved	03/08/2024
B	Oklahoma	Agent	Approved	03/12/2024
B	South Carolina	Agent	Approved	02/26/2025
B	South Dakota	Agent	Approved	03/12/2024
B	Tennessee	Agent	Approved	09/22/2022
B	Texas	Agent	Approved	05/05/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	05/05/2017
B	Virginia	Agent	Approved	12/19/2020



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/08/2024
B Wisconsin	Agent	Approved	03/11/2024
B Wyoming	Agent	Approved	03/11/2024

Branch Office Locations

WELLS FARGO ADVISORS
5613 DTC PKWY
STE 1000
GREENWOOD VILLAGE, CO 80111

WELLS FARGO ADVISORS
CASTLE PINES, CO



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
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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
	General Securities Representative Examination (S7)	Series 7	05/28/1998
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/28/1986

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/1998

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	06/26/2006 - 05/16/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	LONE TREE, CO
B	01/13/2006 - 05/16/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	LONE TREE, CO
B	05/29/1998 - 01/18/2006	EDWARD JONES	CRD# 250	ENNIS, TX
B	10/02/1989 - 12/31/1990	CADARET, GRANT & CO., INC.	CRD# 10641	SYRACUSE, NY
B	01/19/1989 - 10/02/1989	CADARET, GRANT & CO., INC.	CRD# 16404	
B	07/29/1986 - 10/17/1988	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

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
05/2017 - Present	Wells Fargo Clearing Services, LLC	Registered Rep	Y	Greenwood Village, CO, United States
01/2006 - 05/2017	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	ADDISON, TX, 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.

ROCKY MOUNTAIN GETAWAY LLC, INV RELATED, AVON, CO, 100% OWNERSHIP WITH SPOUSE, START DATE 7/1/2002, : HOURS PER MONTH, 0 HRS DURING BUSINESS HOURS, REPAIR AND MAINTENANCE.
ROCKY MOUNTAIN GETAWAY III LLC, INV RELATED, TABERNASH, CO, 100% OWNERSHIP WITH SPOUSE, START 4/1/2017, 4 HOURS PER MONTH, ZERO DURING TRADING, PROPERTY MANAGEMENT



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:	UBS FINANCIAL SERVICES INC.
Allegations:	Time Frame: December 2013 through January 2016 Claimant alleges that Mr. Gunnensen's decision to invest Claimant's money primarily in high yield bonds caused him a loss of roughly \$27,000.
Product Type:	Other: bond funds
Alleged Damages:	\$31,873.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-02377
Filing date of arbitration/CFTC reparation or civil litigation:	08/19/2016

Customer Complaint Information

Date Complaint Received:	08/19/2016
Complaint Pending?	No



Status: Closed/No Action

Status Date: 01/23/2017

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: THE ATTORNEY FOR CLIENTS ALLEGE THEIR CLIENT DID NOT REQUEST A DISTRIBUTION NOR WERE THEY ADVISED OF THE RAMIFICATIONS OF A DISTRIBUTION.

Product Type: Other: EQUITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$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: 07/07/2014

Complaint Pending? No

Status: Withdrawn

Status Date: 04/15/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FS

Allegations: THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00



**Alleged Damages Amount
Explanation (if amount not
exact):**

THE CUSTOMER DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES
AND/OR DAMAGES WERE DETERMINED TO 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:

02/20/2008

Complaint Pending?

No

Status:

Settled

Status Date:

12/23/2008

Settlement Amount:

\$50,000.00

**Individual Contribution
Amount:**

\$0.00

Broker Statement

THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE
BREAKDOWN OF THE LIQUIDITY IN THE MARKET FOR AUCTION RATE
SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS
SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A
GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL
REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE
BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED
ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING
OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE
NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO
OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM
AND THE RELEVANT REGULATORY BODIES. THE NAMED
REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE
NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE
TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT"
REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION
AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS
POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN
CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED
AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA
REGULATORY NOTICE 09-12.



End of Report

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