



IAPD Report

JOHN ROBERT FABRIS

CRD# 1529037

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

JOHN ROBERT FABRIS (CRD# 1529037)

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 **03/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/25/2013
IA	WELLS FARGO ADVISORS	CRD# 19616	07/29/2016

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **32** 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	MORGAN STANLEY	149777	GARDEN CITY, NY	06/01/2009 - 02/14/2013
B	MORGAN STANLEY & CO. INCORPORATED	8209	GARDEN CITY, NY	04/02/2007 - 06/01/2009
B	MORGAN STANLEY DW INC.	7556	GARDEN CITY, NY	10/03/2003 - 04/02/2007

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	6



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 **32** 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	12/01/2021
B FINRA	General Securities Representative	Approved	01/25/2013
B NYSE American LLC	General Securities Representative	Approved	01/25/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/25/2013
B Nasdaq Stock Market	General Securities Representative	Approved	01/25/2013
B New York Stock Exchange	General Securities Representative	Approved	01/25/2013
B Alabama	Agent	Approved	11/06/2018
B Arizona	Agent	Approved	09/19/2018
B California	Agent	Approved	01/28/2013
B Colorado	Agent	Approved	01/25/2013
B Connecticut	Agent	Approved	01/29/2013
B Delaware	Agent	Approved	11/18/2024
B District of Columbia	Agent	Approved	01/17/2025



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/25/2013
B Georgia	Agent	Approved	05/21/2014
B Illinois	Agent	Approved	11/15/2024
B Indiana	Agent	Approved	09/17/2024
B Maine	Agent	Approved	09/30/2021
B Maryland	Agent	Approved	01/31/2023
B Massachusetts	Agent	Approved	01/25/2013
B Michigan	Agent	Approved	05/04/2020
B Minnesota	Agent	Approved	06/07/2024
B Nevada	Agent	Approved	01/25/2013
B New Hampshire	Agent	Approved	09/07/2021
B New Jersey	Agent	Approved	01/25/2013
B New Mexico	Agent	Approved	03/17/2026
B New York	Agent	Approved	01/25/2013
IA New York	Investment Adviser Representative	Approved	07/27/2021
B North Carolina	Agent	Approved	01/25/2013
B North Dakota	Agent	Approved	11/18/2024
B Ohio	Agent	Approved	02/14/2022
B Pennsylvania	Agent	Approved	01/25/2013



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	12/22/2021
B South Carolina	Agent	Approved	08/15/2014
B Tennessee	Agent	Approved	11/12/2024
B Texas	Agent	Approved	02/18/2016
IA Texas	Investment Adviser Representative	Restricted Approval	07/29/2016
B Virginia	Agent	Approved	05/02/2020
B Washington	Agent	Approved	02/07/2020
B Wyoming	Agent	Approved	06/05/2024

Branch Office Locations

WELLS FARGO ADVISORS
1010 FRANKLIN AVE STE 400
GARDEN CITY, NY 11530



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, 2 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	10/17/1987
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1988
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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
B	06/01/2009 - 02/14/2013	MORGAN STANLEY	CRD# 149777	GARDEN CITY, NY
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GARDEN CITY, NY
B	10/03/2003 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	GARDEN CITY, NY
B	10/31/1994 - 10/28/2003	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	10/20/1987 - 11/02/1994	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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	GARDEN CITY, NY, United States
01/2013 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	GARDEN CITY, NY, 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
Customer Dispute	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Client complained that the financial advisor guaranteed an annuity would earn a minimum of 6% per year for 10 years but that after one year the balance reflected a less than 2% gain. (3/22/2018)
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would 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:	05/16/2019
Complaint Pending?	No
Status:	Settled
Status Date:	06/19/2019



Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement Research determined that while the annuity contract features submitted by the financial advisor were correct, the client's concerns stemmed from the electronic transfer of that information, which resulted in the contract being issued without the requested 6% income rider. The insurance company permitted the client to surrender the contract without a penalty.

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, FRAUD, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY BEGINNING OCTOBER 1, 1999.

Product Type: Equity - OTC

Other Product Type(s): EQUITY - LISTED

Alleged Damages: \$105,000.00

Customer Complaint Information

Date Complaint Received: 08/16/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/16/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 04-05669

Date Notice/Process Served: 08/16/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/28/2005

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement THIS INDIVIDUAL, WHO IS NO LONGER EMPLOYED BY CITIGROUP GLOBAL MARKETS INC., WAS NOT INVOLVED IN THE DECISION BY CGMI TO SETTLE THE CLAIMS. THIS INDIVIDUAL DID NOT CONTRIBUTE TO THE SETTLEMENT, WHICH CGMI CHOSE TO DO FOR BUSINESS REASONS, AND THIS INDIVIDUAL CONTINUES TO DENY THE CLAIMS ASSERTED AGAINST

HIM.
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, FRAUD, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY BEGINNING OCTOBER1, 1999.

Product Type: Equity - OTC

Other Product Type(s): EQUITY - LISTED

Alleged Damages: \$105,000.00

Customer Complaint Information

Date Complaint Received: 08/16/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/16/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 04-05669

Date Notice/Process Served: 08/16/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/28/2005

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement FA WAS NOT INVOLVED IN THE DECISION BY CGMI TO SETTLE THE CLAIMS AND DID NOT CONTRIBUTE TO THE SETTLEMENT WHICH CGMI DO FOR BUSINESS REASONS. MR. FABRIS CONTINUES TO DENY THE CLAIMS ASSERTED AGAINST HIM.

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGED UNSUITABILITY WITH REGARD TO EQUITIES.



2000-2002
Product Type: Equity - OTC

Alleged Damages: \$85,000.00

Customer Complaint Information

Date Complaint Received: 11/05/2002

Complaint Pending? No

Status: Denied

Status Date: 12/11/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 4 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED THAT A PURCHASE OF STOCK IN JUNE, 2000 WAS UNSUITABLE.

ALLEGED DAMAGES UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/16/2001

Complaint Pending? No

Status: Denied

Status Date: 02/20/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 5 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT; BRCH OF FIDUCIARY DT; OMISSION OF FACTS



Product Type:

Alleged Damages: \$300,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-05803

Date Notice/Process Served: 04/01/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** PARTIES SETTLED THRU MEDIATION **

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations:

CLAIMANTS ALLEGED CHURNING AND BREACH OF CONTRACT BY THEIR FINANCIAL CONSULTANT. CLAIMANTS SOUGHT \$300,000 IN COMPENSATORY DAMAGES AND \$900,000 IN PUNITIVE DAMAGES.

Product Type:

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 04/01/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/06/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 96-05803

Date Notice/Process Served: 04/01/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/1998

Monetary Compensation Amount: \$70,000.00

**Individual Contribution
Amount:****Firm Statement**

THE MATTER SETTLED FOR \$70,000.
MERRILL LYNCH AND MR. FABRIS DENIED THE CLAIM IN
ITS ENTIRETY. THE MATTER SETTLED TO AVOID THE COST AND
UNCERTAINTY OF LITIGATION.

Reporting Source:

Individual

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

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations:

CLAIMANTS ALLEGED CHURNING AND BREACH OF
CONTRACT BY THEIR FINANCIAL CONSULTANT, CLAIMANTS SOUGHT
\$300,000.00 IN COMPENSATORY DAMAGES: \$900,000.00 IN PUNITIVE
DAMAGES FIRM: MERRILL LYNCH

Product Type:**Alleged Damages:**

\$300,000.00

Customer Complaint Information**Date Complaint Received:**

04/01/1997

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

05/06/1998

Settlement Amount:**Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:**

NATIONAL ASSOC. OF SECURITIES DEALERS; 96-05803

Date Notice/Process Served:

04/01/1997

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

05/06/1998

**Monetary Compensation
Amount:**

\$70,000.00

**Individual Contribution
Amount:****Broker Statement**

MERRILL LYNCH AND MR. FABRIS DENIED THE IN
UNCERTAINTY OF LITIGATION

Disclosure 6 of 6**Reporting Source:**

Firm



Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: CUSTOMER ALLEGED THAT HIS INVESTMENT IN THE ACM MANAGED DOLLAR INCOME FUND WAS MISREPRESENTED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 11/23/1994

Complaint Pending? No

Status: Settled

Status Date: 03/27/1995

Settlement Amount: \$13,000.00

Individual Contribution Amount: \$0.00

Firm Statement TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION, MERRILL LYNCH MADE A BUSINESS DECISION TO SETTLE WITH CUSTOMER FOR \$13,000.
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: ALLEGED INVESTMENT IN ACM MANAGED DOLLAR INCOME FUND WAS MISREPRESENTED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 11/23/1994

Complaint Pending? No

Status: Settled

Status Date: 03/27/1995

Settlement Amount: \$13,000.00

Individual Contribution Amount: \$0.00

Broker Statement MERRILL LYNCH MADE A BUSINESS DECISION TO SETTLE WITH CUSTOMER FOR 13,000. TO AVOID THE COST AND UNCERTAINTIES OF LITIGATION. THE FIRM PAID THE FULL SETTLEMENT.
NOT PROVIDED



End of Report

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