



IAPD Report

JAMES A WILLETT II

CRD# 1615980

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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

JAMES A WILLETT II (CRD# 1615980)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	06/02/2023
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	06/02/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	LONGVIEW, TX	07/11/2008 - 06/02/2023
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	LONGVIEW, TX	07/11/2008 - 06/02/2023
IA	TBT SECURITIES L.C.	31301	LONGVIEW, TX	12/01/2003 - 07/14/2008

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 currently registered with **14** 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	Financial and Operations Principal	Approved	06/02/2023
B FINRA	General Securities Principal	Approved	06/02/2023
B FINRA	General Securities Representative	Approved	06/02/2023
B FINRA	Municipal Securities Principal	Approved	06/02/2023
B FINRA	Municipal Securities Representative	Approved	06/02/2023
B FINRA	Registered Options Principal	Approved	06/02/2023
B Arizona	Agent	Approved	02/28/2024
B Arkansas	Agent	Approved	06/02/2023
B California	Agent	Approved	06/02/2023
B Colorado	Agent	Approved	08/28/2023
B Georgia	Agent	Approved	05/12/2026
B Idaho	Agent	Approved	06/02/2023
B Louisiana	Agent	Approved	06/02/2023



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	06/05/2023
B Nevada	Agent	Approved	07/26/2024
B New Mexico	Agent	Approved	06/02/2023
B Oklahoma	Agent	Approved	06/02/2023
B Pennsylvania	Agent	Approved	06/02/2023
B Texas	Agent	Approved	06/02/2023
IA Texas	Investment Adviser Representative	Approved	06/02/2023
B Washington	Agent	Approved	06/02/2023

Branch Office Locations

WELLS FARGO ADVISORS
2103 JUDSON RD SUITE B
LONGVIEW, TX 75605







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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Financial and Operations Principal Examination (S27)	Series 27	03/05/1992
	General Securities Principal Examination (S24)	Series 24	02/26/1992
	Municipal Securities Principal Examination (S53)	Series 53	12/11/1991
	Registered Options Principal Examination (S4)	Series 4	12/10/1991

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	06/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/17/1987

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/16/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/12/1987



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	07/11/2008 - 06/02/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	LONGVIEW, TX
IA	07/11/2008 - 06/02/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	LONGVIEW, TX
IA	12/01/2003 - 07/14/2008	TBT SECURITIES L.C.	CRD# 31301	LONGVIEW, TX
B	02/01/1993 - 07/14/2008	TBT SECURITIES L.C.	CRD# 31301	LONGVIEW, TX
B	09/20/1991 - 02/01/1993	LONGVIEW FINANCIAL SERVICES COMPANY	CRD# 18279	
B	07/21/1989 - 09/21/1991	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	01/21/1987 - 08/08/1989	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
06/2023 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	LONGVIEW, TX, United States
11/2016 - 06/2023	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	LONGVIEW, TX, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	LONGVIEW, 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.

WILLETT PRIVATE CAPTIAL LLC, INV RELATED, LONGVIEW, TX, 100% OWNERSHIP, START 5/10/2023, 160 HOURS PER MONTH, 8 HOURS DURING TRADING, FINET PRACTICE.]
PS2911, LLC; INV RELATED; LONGVIEW, TX; REAL ESTATE; 10% OWNERSHIP; START DATE 01/10/2025; 1 HOUR PER MONTH; 0 HOURS DURING TRADING]



Registration & Employment History



OTHER BUSINESS ACTIVITIES

COMMERCIAL PROPERTY; INV RELATED; LONGVIEW, TX; WEALTH MANAGEMENT PRACTICE; 10% OWNERSHIP; START DATE 02/01/2025; 1 HOUR PER MONTH; 0 HOURS 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:	01/10/1995
Docket/Case Number:	C06940048
Employing firm when activity occurred which led to the regulatory action:	BSC SECURITIES, L.C.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/10/1995
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON JANUARY 10, 1995, DISTRICT NO. 6 NOTIFIED BSC SECURITIES, L.C. AND JAMES A. WILLETT, II THAT THE LETTER OF ACCEPTANCE,



WAIVER AND CONSENT NO. C06940048 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT WILLETT, USED INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN NONEXEMPT SECURITIES WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL; AND, FAILED TO COMPLY WITH SEC RULE 15c3-3 BY FAILING TO PERFORM A RESERVE FORMULA COMPUTATION AND FAILING TO MAKE A REQUIRED DEPOSIT INTO A SPECIAL RESERVE ACCOUNT).

\$5,000 J&S PAID 3/9/95 INVOICE #95-06-55

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 01/10/1995

Docket/Case Number: C06940048

Employing firm when activity occurred which led to the regulatory action: BSC SECURITIES, L.C.

Product Type: Money Market Fund(s)

Other Product Type(s):

Allegations: FAILURE TO MAINTAIN REQUIRED MINIMUM NET CAPITAL AND FAILURE TO PERFORM A RESERVE FORMULA COMPUTATION AND MAKE A REQUIRED DEPOSIT INTO A SPECIAL RESERVE ACCOUNT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/10/1995

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: BSC SECURITIES AND JAMES A. WILLETT WERE JOINTLY AND SEVERALLY FINED \$5,000 AND CENSURED PURSUANT TO ACCEPTANCE, WAIVER AND CONSENT NO. C06940048 SIGNED ON 1/10/95.

Broker Statement ON JANUARY 10, 1995, DISTRICT NO. 6 NOTIFIED BSC SECURITIES, L.C. AND JAMES A. WILLETT, II THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C06940048 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000 JOINTLY AND SEVERALLY-(ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT WILLETT, USED INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN NONEXEMPT SECURITIES WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET



CAPITAL; AND, FAILED TO COMPLY WITH SEC RULE 15C3-3 BY FAILING TO PERFORM A RESERVE FORMULA COMPUTATION AND FAILING TO MAKE A REQUIRED DEPOSIT INTO A SPECIAL RESERVE ACCOUNT). ***\$5,000 J&S PAID 3/9/95 INVOICE #95-06-55***



End of Report

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