



IAPD Report

DARRELL BRIAN HESFORD

CRD# 1735905

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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

DARRELL BRIAN HESFORD (CRD# 1735905)

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 **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **33** 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	WELLS FARGO INVESTMENTS, LLC	10582	ESCONDIDO, CA	05/15/2001 - 01/03/2011
B	WELLS FARGO INVESTMENTS, LLC	10582	ESCONDIDO, CA	05/02/2001 - 01/03/2011
B	WELLS FARGO SECURITIES INC.	17438	SAN FRANCISCO, CA	09/27/1994 - 05/02/2001

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	4
Judgment/Lien	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 **33** 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	11/30/2021
B FINRA	General Securities Representative	Approved	01/03/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B Alabama	Agent	Approved	07/06/2015
B Arizona	Agent	Approved	01/03/2011
B California	Agent	Approved	01/03/2011
IA California	Investment Adviser Representative	Approved	01/03/2011
B Colorado	Agent	Approved	01/03/2011
B Connecticut	Agent	Approved	01/03/2011
B Florida	Agent	Approved	01/03/2011



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	01/15/2025
B Hawaii	Agent	Approved	01/03/2011
B Idaho	Agent	Approved	01/03/2011
B Illinois	Agent	Approved	12/18/2023
B Indiana	Agent	Approved	11/07/2022
B Iowa	Agent	Approved	03/05/2015
B Maryland	Agent	Approved	01/03/2011
B Massachusetts	Agent	Approved	02/15/2022
B Michigan	Agent	Approved	07/10/2018
B Minnesota	Agent	Approved	10/27/2020
B Mississippi	Agent	Approved	03/01/2023
B Missouri	Agent	Approved	11/17/2016
B Nevada	Agent	Approved	01/03/2011
B New Mexico	Agent	Approved	10/18/2017
B New York	Agent	Approved	01/03/2011
B North Carolina	Agent	Approved	01/03/2011
B North Dakota	Agent	Approved	01/21/2025
B Oregon	Agent	Approved	01/03/2011
B Pennsylvania	Agent	Approved	02/11/2020



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	01/03/2011
B South Dakota	Agent	Approved	09/23/2014
B Tennessee	Agent	Approved	04/17/2019
B Texas	Agent	Approved	01/03/2011
IA Texas	Investment Adviser Representative	Restricted Approval	11/03/2016
B Utah	Agent	Approved	03/10/2015
B Vermont	Agent	Approved	01/03/2011
B Virginia	Agent	Approved	01/03/2011
B Washington	Agent	Approved	01/03/2011

Branch Office Locations

WELLS FARGO ADVISORS
145 N ESCONDIDO BLVD
ESCONDIDO, CA 92025

WELLS FARGO ADVISORS
961 PALOMAR AIRPORT RD
CARLSBAD, CA 92011

WELLS FARGO ADVISORS
5800 ARMADA DR STE 300
CARLSBAD, CA 92008



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 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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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	03/17/1990
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/15/1998
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1990
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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	05/15/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ESCONDIDO, CA
B	05/02/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ESCONDIDO, CA
B	09/27/1994 - 05/02/2001	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	03/31/1993 - 09/30/1994	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	03/20/1990 - 04/01/1993	NEW ENGLAND SECURITIES	CRD# 615	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	CARLSBAD, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	CARLSBAD, 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.

HENDO'S BREWING & SPIRITS, LLC; NON INV RELATED; TEMECULA, CA; RESTAURANT & BREWERY; 2.13% OWNER; START: 1/25/19; 2 HRS/MO; 0 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
Customer Dispute	4
Judgment/Lien	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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Client alleged an unauthorized trade was placed in his account in an effort to continue charging advisory fees. (3/6/2016)
Product Type:	Other: Exchanged Traded Funds (ETFs)
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:	04/23/2018
Complaint Pending?	No
Status:	Settled
Status Date:	07/06/2018



Settlement Amount: \$19,957.87

Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: MISREPRESENTATION, SUITABILITY, BREACH OF FIDUCIARY DUTY AND FAILURE TO SUPERVISE IN CONNECTION WITH PREFERRED STOCK PURCHASES ON JUNE 22, 2007 AND JULY 13, 2007.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$110,000.00

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: 11/01/2011

Complaint Pending? No

Status: Settled

Status Date: 05/02/2012

Settlement Amount: \$66,600.00

Individual Contribution Amount: \$0.00

Broker Statement I FULLY DISCLOSED ALL THE INVESTMENTS AND THE RISK INVOLVED, WE REVIEWED ALL THESE INVESTMENTS IN DETAIL AT THE TIME, THEIR RATINGS AND THE MATURITY PERIODS. THE BALANCE BETWEEN BROKERED CD'S AND THE 2 PREFERRED STOCKS WAS CHOSEN TO HELP WITH THE CLIENTS DESIRE FOR INCOME OVER TIME.

Disclosure 3 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC

Allegations: MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; MANIPULATION; UNSUITABILITY; OMISSION OF FACTS; UNAUTHORIZED TRADING; BREACH OF CONTRACT

Product Type: Mutual Fund

Alleged Damages: \$12,000.00

Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #09-02086](#)**Date Notice/Process Served:** 04/13/2009**Arbitration Pending?** No**Disposition:** Denied**Disposition Date:** 11/02/2009**Disposition Detail:** CLAIMANT'S CLAIMS ARE DENIED IN THEIR ENTIRETY.
.....**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** WELLS FARGO INVESTMENTS, LLC.**Allegations:** THE CLIENT STATES THE FC RECOMMENDED A MUTUAL FUND WITHOUT CONSIDERING IF IT WAS SUITABLE FOR HIM AND DID NOT INFORMED HIM OF THE RISKS INVOLVED WITH INVESTING IN IT.**Product Type:** Mutual Fund**Alleged Damages:** \$17,785.00**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** [09-02086](#)**Date Notice/Process Served:** 06/02/2009**Arbitration Pending?** No**Disposition:** Denied**Disposition Date:** 11/02/2009**Monetary Compensation Amount:** \$0.00**Individual Contribution Amount:** \$0.00**Disclosure 4 of 4****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** WELLS FARGO SECURITIES, INC.**Allegations:** SUITABILITY - 2000**Product Type:** Mutual Fund(s)**Alleged Damages:** \$5,134.91**Customer Complaint Information****Date Complaint Received:** 06/04/2003



Complaint Pending?	No
Status:	Denied
Status Date:	09/12/2003
Settlement Amount:	
Individual Contribution Amount:	



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 3

Reporting Source: Individual
Judgment/Lien Holder: Franchise Tax board California
Judgment/Lien Amount: \$48,799.73
Judgment/Lien Type: Tax
Date Filed with Court: 12/02/2025
Date Individual Learned: 02/28/2026
Type of Court: State Court
Name of Court: State of California
Location of Court: Sacramento, CA
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien now being garnished from my wages is the tax owed Ca from tax year 2025

Disclosure 2 of 3

Reporting Source: Individual
Judgment/Lien Holder: Franchise Tax Board
Judgment/Lien Amount: \$48,948.12
Judgment/Lien Type: Tax
Date Filed with Court: 10/16/2025
Date Individual Learned: 11/15/2025
Type of Court: State Court
Name of Court: State of California
Location of Court: San Diego, CA
Docket/Case #: 2025-028-0288321
Judgment/Lien Outstanding? Yes
Broker Statement I understand this tax lean is now in wage consignment and may be deducted from my pay.
The recent Wage garnishment that is being deducted from my Wells Fargo Pay is the same tax lien from the FTB from 2023
Doc # 2025-028/8321

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$143,348.43
Judgment/Lien Type: Tax



Date Filed with Court:	07/30/2025
Date Individual Learned:	08/12/2025
Type of Court:	Federal Court
Name of Court:	Department of the Treasury
Location of Court:	San Diego, CA
Docket/Case #:	2025-0208138
Judgment/Lien Outstanding?	Yes
Broker Statement	In my divorce filed 4/2023 access to my personal investments is restricted until we have finalized, 2023 cap gains tax from sales is owed, and I have not been able to access 401k, other brokerage assets to pay. This should be pressed through and resolved I am trying thru my lawyer, in time.



End of Report

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