



IAPD Report

GREGORY PATRICK FERGUSON

CRD# 1839223

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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

GREGORY PATRICK FERGUSON (CRD# 1839223)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	03/22/1993
IA	WELLS FARGO ADVISORS	CRD# 11025	12/13/2000

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	ROBERT TODD FINANCIAL CORP.	7423	NEW YORK, NY	01/10/1991 - 03/02/1993
B	MALONE & ASSOCIATES, INC.	10412	DENVER, CO	10/10/1990 - 12/03/1990
B	MLB INVESTMENTS, LTD.	18280	DENVER, CO	06/26/1990 - 09/11/1990

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
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 **50** 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 Principal	Approved	03/22/1993
B FINRA	General Securities Representative	Approved	03/22/1993
B Alabama	Agent	Approved	02/12/2016
B Alaska	Agent	Approved	09/19/2023
B Arizona	Agent	Approved	06/12/2003
B Arkansas	Agent	Approved	10/03/2023
B California	Agent	Approved	09/21/1994
IA California	Investment Adviser Representative	Approved	12/13/2000
B Colorado	Agent	Approved	08/13/2019
B Connecticut	Agent	Approved	08/26/2002
B Delaware	Agent	Approved	07/20/2017
B District of Columbia	Agent	Approved	11/12/2025
B Florida	Agent	Approved	07/08/1994



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	01/25/1994
B Hawaii	Agent	Approved	02/13/2007
B Idaho	Agent	Approved	05/26/2020
B Illinois	Agent	Approved	04/01/1993
B Indiana	Agent	Approved	01/10/1994
B Iowa	Agent	Approved	05/08/2020
B Kentucky	Agent	Approved	05/22/2020
B Louisiana	Agent	Approved	02/14/2017
B Maine	Agent	Approved	11/08/2001
B Maryland	Agent	Approved	06/16/2004
B Massachusetts	Agent	Approved	01/28/1994
B Michigan	Agent	Approved	02/26/2020
B Minnesota	Agent	Approved	10/25/2001
B Mississippi	Agent	Approved	01/19/2017
B Missouri	Agent	Approved	08/14/2017
B Montana	Agent	Approved	08/20/2021
B Nebraska	Agent	Approved	05/21/2018
B Nevada	Agent	Approved	10/29/2007
B New Hampshire	Agent	Approved	02/25/2020



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	01/20/1994
IA	New Jersey	Investment Adviser Representative	Approved	06/12/2002
B	New Mexico	Agent	Approved	02/25/2020
B	New York	Agent	Approved	03/23/1993
IA	New York	Investment Adviser Representative	Approved	07/27/2021
B	North Carolina	Agent	Approved	10/25/2001
B	North Dakota	Agent	Approved	09/18/2023
B	Ohio	Agent	Approved	01/14/1994
B	Oklahoma	Agent	Approved	06/12/2020
B	Oregon	Agent	Approved	07/16/2018
B	Pennsylvania	Agent	Approved	01/13/1994
B	Puerto Rico	Agent	Approved	10/11/2022
B	Rhode Island	Agent	Approved	02/26/2020
B	South Carolina	Agent	Approved	02/08/1994
B	South Dakota	Agent	Approved	11/22/2023
B	Tennessee	Agent	Approved	02/16/2016
B	Texas	Agent	Approved	10/13/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	09/08/2016



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	09/28/2023
B Vermont	Agent	Approved	12/05/2017
B Virginia	Agent	Approved	10/24/2001
B Washington	Agent	Approved	02/26/2020
B West Virginia	Agent	Approved	03/15/2021
B Wisconsin	Agent	Approved	09/26/2001

Branch Office Locations

WELLS FARGO ADVISORS
401 BROADHOLLOW RD
MELVILLE, NY 11747

WELLS FARGO ADVISORS
EAST NORTHPORT, NY



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	11/20/1991

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/21/1988

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/2000
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/08/1988

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	01/10/1991 - 03/02/1993	ROBERT TODD FINANCIAL CORP.	CRD# 7423	NEW YORK, NY
B	10/10/1990 - 12/03/1990	MALONE & ASSOCIATES, INC.	CRD# 10412	DENVER, CO
B	06/26/1990 - 09/11/1990	MLB INVESTMENTS, LTD.	CRD# 18280	
B	02/09/1990 - 06/12/1990	VANDERBILT SECURITIES, INC.	CRD# 14280	
B	06/16/1988 - 02/15/1990	J. T. MORAN & CO., INC.	CRD# 15655	

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	HUNTINGTON, 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.

FMRG HOLDINGS, LLC, INV RELATED, MELVILLE, NY, 8.33% OWNERSHIP, START 12/1/2019, 2 HOURS PER MONTH, ZERO HOURS DURING TRADING, HOLDS FINET PRACTICE BUILDING.

RYAMI CORP, INV RELATED, E. NORTHPORT, NY, 100% OWNERSHIP, START 3/16/2020, 0 HRS PER MONTH, 0 HRS DURING TRADING, BILLS FOR FINET PRACTICE.

AFCM MANAGEMENT, INV RELATED, MELVILLE, NY, 50% OWNERSHIP, START 3/16/2020, 0 HRS PER MONTH, 0 HRS DURING TRADING, BILLS FOR FINET PRACTICE.;

TRUSTEE FOR RYAMI CORP 401K, INV RELATED, E. NORTHPORT, NY, START 12/15/2014, 0 HRS/MONTH, 0 HRS DURING TRADING, FINET PRACTICE 401K.;

TRUSTEE FOR RYAMI CORP DBP, INV RELATED, NORTHPORT, NY, START: 3/31/2022, 1 HR/MONTH, 1 HR DURING TRADING, FINET PRACTICE DBP.



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: STATE OF CT DEPT OF BANKING

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/21/1990

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: J.T. HORAN, INC

Product Type:

Other Product Type(s):

Allegations: AS AN AGENT OF J T MORAN INC, PARTICIPATED IN THE SELLING OF UNREGISTERED SECURITIES

Current Status: Final

Resolution: Consent

Resolution Date: 05/21/1990

Sanctions Ordered: Monetary/Fine \$1,615.00

Other Sanctions Ordered:

Sanction Details: ON MAY 21 1990,GREGORY PATRICK FERGUSON ENTERED INTO A STIPULATION AGREEMENT WITH THE CT SECURITIES AND BUSINESS INVESTMENTS DIVISION IN SETTLEMENT OF THE ALLEGATIONS



RAISED IN A NOTICE OF INTENT TO REVOKE REGISTRATION AS AN AGENT AND A NOTICE OF INTENT TO FINE ISSUED ON OCTOBER 13, 1989. IN SETTLEMENT MR. FERGUSON HAS WITHOUT ADMITTING TO OR DENYING ANY VIOLATION OF LAW, AGREED TO PAY A \$1615 FINE AND TO CERTAIN RESTRICTIONS ON HIS SOLICITATIONS AND SALE OF SECURITIES IN CT

Regulator Statement Not Provided

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF CONNECTICUT, DEPT. OF BANKING

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/21/1990

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: J.T. MORAN, INC

Product Type: Equity - OTC

Other Product Type(s):

Allegations: I SOLD SECURITIES THAT WERE NOT REGISTERED WITH THE STATE OF CONNECTICUT.

Current Status: Final

Resolution: Consent

Resolution Date: 05/21/1990

Sanctions Ordered: Monetary/Fine \$1,615.00

Other Sanctions Ordered:

Sanction Details: THE FINE IS \$1,615.00... RESPONDENT SHALL BE BARRED FROM SOLICITING FOR PURCHASE OF SALE, ANY SECURITY, OTHER THAN THOSE SECURITIES DESCRIBED IN PARAGRAPH THREE (3) OF THIS AGREEMENT, WITH A BIG PRICE OF LESS THAN THREE (\$3.00) DOLLARS AT THE TIME OF SOLICITATING OR SALE. THIS BAR SHALL COMMERCE UPON THE COMMISSIONER'S EXECUTION OF THIS AGREEMENT AND SHALL CONTINUE FOR A PERIOD OF SIXTY (60) DAYS THEREAFTER.

NOTWITHSTANDING THE PROVISIONS CONTAINED IN PARAGRAPH TWO (2) OF THIS AGREEMENT, THE RESPONDENT SHALL NOT BE BARRED FROM SOLICITING FOR PURCHASE OR SALE THE FOLLOWING SECURITIES, BID AT ANY PRICE, SO LONG AS SUCH SECURITIES ARE EFFECTIVELY REGISTERED OR EXEMPT FROM REGISTRATION UNDER THE CONNECTICUT UNIFORM SECURITIES ACT:

A. ANY SECURITY LISTED ON A NATIONAL SECURITIES EXCHANGE OR QUOTED ON THE NATIONAL MARKET SYSTEM OF THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

B. ANY SECURITY OF AN INVESTMENT COMPANY FORMED PURSUANT TO THE INVESTMENT COMPANY ACT OF 1940.

C. ANY SECURITY WHOSE INCOME IS EXEMPT FROM FEDERAL



TAXATION.

D. ANY BOND OR SIMILAR TYPE OF SECURITY.

RESPONDENT SHALL NOT OFFER OR SELL ANY SECURITIES TO RESIDENTS OF THE STATE OF CONNECTICUT PURSUANT TO THE EXEMPTION FORM REGISTRATION CONTAINED IN SECTION 36-490 (B) (2) (A) OF THE CONNECTICUT GENERAL STATUTES, THE CONNECTICUT UNIFORM SECURITIES ACT. THIS RESTRICTION SHALL COMMENCE UPON THE EXPIRATION OF THE FOREGOING BAR, AND SHALL REMAIN IN EFFECT FOR A PERIOD OF TEN (10) DAYS THEREAFTER.

Broker Statement

THE FIRM RECOMMENDED SECURITIES WHICH WERE LATER DISCOVERED NOT TO HAVE BEEN REGISTERED AT THE TIME OF THE SOLICITATION. WE RECEIVED IN WRITING BLUE SKY LISTS FOR THE SECURITIES FROM THE COMPANIES COMPLIANCE DEPARTMENT THAT WERE LATER FOUND TO BE INCORRECT.



End of Report

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