



## IAPD Report

# WENDY LEE OLSON

CRD# 1903253

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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

### WENDY LEE OLSON (CRD# 1903253)

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 **04/23/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	WEDBUSH SECURITIES INC.	CRD# 877	02/22/2021
<b>IA</b>	WEDBUSH SECURITIES INC.	CRD# 877	03/02/2021

### QUALIFICATIONS

This representative is currently registered in **23** SRO(s) and **1** 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>IA</b>	STANCORP INVESTMENT ADVISERS, INC.	110228	Portland, OR	03/09/2020 - 03/04/2021
<b>B</b>	STANCORP EQUITIES, INC.	19517	PORTLAND, OR	03/04/2020 - 03/04/2021
<b>IA</b>	GENWORTH FINANCIAL ADVISERS CORPORATION	105644	STAMFORD, CT	05/29/2008 - 03/15/2011

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
Financial	2



## 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 1 jurisdiction(s) and 23 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **WEDBUSH SECURITIES INC.**  
Main Address: ATTN: COMPLIANCE DEPT.  
225 S. LAKE AVE PENTHOUSE  
PASADENA, CA 91101  
Firm ID#: 877

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	02/22/2021
B BOX Exchange LLC	General Securities Representative	Approved	02/22/2021
B BOX Exchange LLC	Registered Options Principal	Approved	08/18/2023
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	02/22/2021
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	02/22/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	08/18/2023
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	08/18/2023
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	02/22/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	02/22/2021



## Qualifications

Regulator	Registration	Status	Date
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	08/18/2023
B Cboe Exchange, Inc.	General Securities Representative	Approved	02/22/2021
B Cboe Exchange, Inc.	Registered Options Principal	Approved	08/18/2023
B FINRA	Compliance Officer	Approved	02/22/2021
B FINRA	General Securities Principal	Approved	02/22/2021
B FINRA	General Securities Representative	Approved	02/22/2021
B FINRA	Operations Professional	Approved	01/30/2023
B FINRA	Registered Options Principal	Approved	08/18/2023
B Investors' Exchange LLC	General Securities Principal	Approved	02/22/2021
B Investors' Exchange LLC	General Securities Representative	Approved	02/22/2021
B MIAX PEARL, LLC	General Securities Principal	Approved	02/22/2021
B MIAX PEARL, LLC	General Securities Representative	Approved	02/22/2021
B MIAX PEARL, LLC	Registered Options Principal	Approved	08/18/2023
B MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B MIAX Sapphire	Registered Options Principal	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	02/22/2021
B Miami International Securities	General Securities Representative	Approved	02/22/2021



### Qualifications

Regulator	Registration	Status	Date
Exchange, LLC			
<b>B</b> Miami International Securities Exchange, LLC	Registered Options Principal	Approved	08/18/2023
<b>B</b> NYSE American LLC	General Securities Principal	Approved	02/22/2021
<b>B</b> NYSE American LLC	General Securities Representative	Approved	02/22/2021
<b>B</b> NYSE American LLC	Registered Options Principal	Approved	08/18/2023
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	02/22/2021
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	02/22/2021
<b>B</b> NYSE Arca, Inc.	Registered Options Principal	Approved	08/18/2023
<b>B</b> NYSE National, Inc.	General Securities Principal	Approved	02/22/2021
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	02/22/2021
<b>B</b> NYSE Texas, Inc.	General Securities Principal	Approved	02/22/2021
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	02/22/2021
<b>B</b> Nasdaq GEMX, LLC	General Securities Principal	Approved	02/22/2021
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	02/22/2021
<b>B</b> Nasdaq GEMX, LLC	Registered Options Principal	Approved	08/18/2023
<b>B</b> Nasdaq ISE, LLC	General Securities Principal	Approved	02/22/2021
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	02/22/2021
<b>B</b> Nasdaq ISE, LLC	Registered Options Principal	Approved	08/18/2023
<b>B</b> Nasdaq MRX, LLC	General Securities Principal	Approved	02/22/2021



### Qualifications

Regulator	Registration	Status	Date
B Nasdaq MRX, LLC	General Securities Representative	Approved	02/22/2021
B Nasdaq MRX, LLC	Registered Options Principal	Approved	08/18/2023
B Nasdaq PHLX LLC	General Securities Principal	Approved	02/22/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	02/22/2021
B Nasdaq PHLX LLC	Registered Options Principal	Approved	08/18/2023
B Nasdaq Stock Market	General Securities Principal	Approved	02/22/2021
B Nasdaq Stock Market	General Securities Representative	Approved	02/22/2021
B Nasdaq Stock Market	Registered Options Principal	Approved	08/18/2023
B Nasdaq Texas, LLC	General Securities Principal	Approved	02/22/2021
B Nasdaq Texas, LLC	General Securities Representative	Approved	02/22/2021
B Nasdaq Texas, LLC	Registered Options Principal	Approved	08/18/2023
B New York Stock Exchange	General Securities Principal	Approved	02/22/2021
B New York Stock Exchange	General Securities Representative	Approved	02/22/2021
B Oregon	Agent	Approved	03/02/2021
IA Oregon	Investment Adviser Representative	Approved	03/02/2021

#### Branch Office Locations

**WEDBUSH SECURITIES INC.**  
 5885 SW MEADOWS ROAD  
 STE 150  
 LAKE OSWEGO, OR 97035

**WEDBUSH SECURITIES INC.**  
 Gleneden Beach, OR







## 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, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	08/18/2023
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Principal Examination (S24)	Series 24	05/22/2020
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/23/1996

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/30/2023
 National Commodity Futures Examination (S3)	Series 3	12/20/2022
 Limited Representative-Equity Trader Exam (S55)	Series 55	04/24/2000
 General Securities Representative Examination (S7)	Series 7	02/18/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/03/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1989



## 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	03/09/2020 - 03/04/2021	STANCORP INVESTMENT ADVISERS, INC.	CRD# 110228	Portland, OR
B	03/04/2020 - 03/04/2021	STANCORP EQUITIES, INC.	CRD# 19517	PORTLAND, OR
IA	05/29/2008 - 03/15/2011	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	STAMFORD, CT
B	05/29/2008 - 03/15/2011	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	STAMFORD, CT
IA	06/21/2007 - 09/07/2007	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	PHILADELPHIA, PA
B	05/01/2007 - 09/07/2007	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	PHILADELPHIA, PA
B	08/11/2003 - 05/21/2007	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	PHILADELPHIA, PA
IA	07/24/2003 - 05/21/2007	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	PHILADELPHIA, PA
B	08/11/2003 - 05/01/2007	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	PHILADELPHIA, PA
B	10/21/2002 - 12/18/2002	HOTOVEC, POMERANZ & CO., LLC	CRD# 41178	SAN FRANCISCO, CA
IA	10/28/2002 - 11/27/2002	HOTOVEC, POMERANZ & CO.	CRD# 41178	SAN FRANCISCO, CA
B	09/27/2001 - 01/22/2002	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	06/11/1999 - 09/10/2001	BANC OF AMERICA SECURITIES LLC	CRD# 26091	NEW YORK, NY
B	04/18/1999 - 05/18/1999	THOMAS F. WHITE & CO., INCORPORATED	CRD# 7661	SAN FRANCISCO, CA
B	08/09/1996 - 05/27/1997	BEAR, STEARNS SECURITIES CORP.	CRD# 28432	BROOKLYN, NY
B	10/01/1990 - 05/27/1997	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY



## 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	02/28/1989 - 08/17/1989	FINNET SECURITIES, INC.	CRD# 17960	

### 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
02/2021 - Present	WEDBUSH SECURITIES INC.	VICE PRESIDENT - COMPLIANCE TESTING & SURVEILLANCE	Y	LOS ANGELES, CA, United States
01/2020 - 02/2021	StanCorp Equities, Inc./StanCorp Investment Advisers	Compliance Officer	Y	Portland, OR, United States
08/2016 - 12/2019	NYSE Chicago, Inc.	Surveillance Specialist	Y	Chicago, IL, United States
11/2013 - 06/2016	PostNet	Employee/Manager	N	Glenview, IL, 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
Financial	2

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	12/01/2016
<b>Organization Investment-Related?</b>	No
<b>Action Pending?</b>	No
<b>Disposition:</b>	Satisfied/Released
<b>Disposition Date:</b>	12/01/2016

#### If a compromise with creditor, provide:

<b>Name of Creditor:</b>	JPMCB/Bank of America
<b>Original Amount Owed:</b>	\$65,000.00
<b>Terms Reached with Creditor:</b>	\$38839 Paid, \$26161 Compromised. All accounts noted as legally paid and accounts closed.

#### Broker Statement

In December 2016, in connection with the closure of a family business, I compromised, on behalf of myself and Cainpactil Corporation DBA PostNet, with business credit holders (credit cards), JPMCB and Bank of America, the balance due of an outstanding business credit card debt. The business closed due to financial insolvency and family illness, leaving my family contractually liable for the outstanding debt. Each creditor was separately negotiated and settled for a total of \$38839, relief of \$26161, as listed as 'Other Income' in my personal 2016 IRS Form 1040 (out of \$65000 assessed). All debt was considered as paid at the time of negotiation, with no further action.

**Disclosure 2 of 2**

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 09/01/2017

**Organization Name:** Cainpactil Corporation DBA PostNet

**Individual Position:** Employee/Manager

**Organization Investment-Related?** No

**Type of Court:** State Court

**Name of Court:** Circuit Court of Cook County, Illinois, Municipal Department, 2nd District

**Location of Court:** Cook County, Illinois

**Docket/Case #:** 2017-M2-2334

**Action Pending?** No

**Disposition:** Dismissed

**Disposition Date:** 09/08/2017

**If a compromise with creditor, provide:**

**Name of Creditor:** Central Property Management of Midwest, Inc.

**Original Amount Owed:** \$39,429.00

**Terms Reached with Creditor:** Paid \$27000, Compromised \$12429. Settlement Agreement and case dismissal.

**Broker Statement**

In September 2017, in connection with the closure of a family business, I compromised, on behalf of Cainpactil Corporation DBA PostNet, with commercial real estate landlord, Central Property Management of Midwest, the balance due of an outstanding commercial lease. The business closed due to financial insolvency and family illness before it's commercial lease on a brick and mortar location was complete, leaving my family contractually liable for the remainder of the lease. The landlord was unwilling to negotiate and filed a lawsuit with the Circuit Court of Cook County, Illinois, Municipal Department, 2nd District (Ref: 2017-M2-2334). The case was privately settled for \$27000 (out of \$39429 assessed).



## End of Report

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