



IAPD Report

ROBERT EARL PECKHAM

CRD# 2033082

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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

ROBERT EARL PECKHAM (CRD# 2033082)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	04/27/2023
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	04/27/2023

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **10** 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	INFINEX INVESTMENTS, INC.	35371	BROOKFIELD, CT	02/16/2006 - 04/27/2023
B	INFINEX INVESTMENTS, INC.	35371	BROOKFIELD, CT	02/15/2006 - 04/27/2023
IA	CHASE INVESTMENT SERVICES CORP.	25574	NANUET, NY	04/22/2005 - 10/17/2005

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
Criminal	1
Customer Dispute	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 **10** jurisdiction(s) and 11 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 BZX Exchange, Inc.	General Securities Principal	Approved	04/27/2023
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/27/2023
B Cboe Exchange, Inc.	General Securities Principal	Approved	04/27/2023
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/27/2023
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/27/2023
B FINRA	General Securities Principal	Approved	04/27/2023
B FINRA	General Securities Representative	Approved	04/27/2023
B FINRA	General Securities Sales Supervisor	Approved	04/27/2023
B FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	04/27/2023
B NYSE American LLC	General Securities Principal	Approved	04/27/2023
B NYSE American LLC	General Securities Representative	Approved	04/27/2023
B NYSE American LLC	General Securities Sales Supervisor	Approved	04/27/2023
B NYSE American LLC	Securities Manager	Approved	04/27/2023



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Principal	Approved	04/27/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	04/27/2023
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/27/2023
B NYSE Texas, Inc.	General Securities Principal	Approved	04/27/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	04/27/2023
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/27/2023
B Nasdaq GEMX, LLC	General Securities Principal	Approved	04/27/2023
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/27/2023
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	04/27/2023
B Nasdaq ISE, LLC	General Securities Principal	Approved	04/27/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/27/2023
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	04/27/2023
B Nasdaq PHLX LLC	General Securities Principal	Approved	04/27/2023
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/27/2023
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/27/2023
B Nasdaq Stock Market	General Securities Principal	Approved	04/27/2023
B Nasdaq Stock Market	General Securities Representative	Approved	04/27/2023
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/27/2023
B New York Stock Exchange	General Securities Principal	Approved	04/27/2023



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	04/27/2023
B New York Stock Exchange	General Securities Sales Supervisor	Approved	04/27/2023
B New York Stock Exchange	Securities Manager	Approved	04/27/2023
B Arizona	Agent	Approved	04/27/2023
B Arkansas	Agent	Approved	04/27/2023
B Connecticut	Agent	Approved	04/27/2023
IA Connecticut	Investment Adviser Representative	Approved	04/27/2023
B Florida	Agent	Approved	04/27/2023
B Hawaii	Agent	Approved	05/08/2023
B Massachusetts	Agent	Approved	12/24/2025
B New York	Agent	Approved	04/27/2023
B North Carolina	Agent	Approved	03/04/2024
B South Carolina	Agent	Approved	04/27/2023
B Vermont	Agent	Approved	04/27/2023

Branch Office Locations

WELLS FARGO ADVISORS
83 WOOSTER HTS STE 401
LEE FARM CORPORATE PARK
DANBURY, CT 06810







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
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Principal Examination (S24)	Series 24	12/07/2006
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/30/1998

General Industry/Product Exams

Exam	Category	Date
 Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	04/27/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/17/1993
 General Securities Representative Examination (S7)	Series 7	03/10/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/16/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/1992



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	02/16/2006 - 04/27/2023	INFINEX INVESTMENTS, INC.	CRD# 35371	BROOKFIELD, CT
B	02/15/2006 - 04/27/2023	INFINEX INVESTMENTS, INC.	CRD# 35371	BROOKFIELD, CT
IA	04/22/2005 - 10/17/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NANUET, NY
B	12/10/2004 - 10/17/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	12/14/2000 - 04/30/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/11/1992 - 12/19/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
04/2023 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	DANBURY, CT, United States
02/2006 - 04/2023	INFINEX INVESTMENTS, INC.	INVESTMENT EXECUTIVE	Y	DANBURY, CT, 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
Regulatory Event	1
Criminal	1
Customer Dispute	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:	Individual
Regulatory Action Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	04/13/2007
Docket/Case Number:	CSB-335139
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Allegations:	ON OR ABOUT MAY 23,2001, FAILED TO PORPRELY COMPLETE APPLICATION, DEFINITION OF REPLACEMENT FORM AND DISCLOSURE STATEMENT UNDER REGULATION 60.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	05/01/2007
Sanctions Ordered:	Monetary/Fine \$750.00
Other Sanctions Ordered:	



Sanction Details:

FINE OF \$750.00 PAID 4/26/07.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	SCOTTSDALE CITY COURT, SCOTTSDALE, ARIZONA DOCKET # 1040470,1,C
Charge Date:	01/22/1989
Charge Details:	I TRIED TO WALK OUT OF A GROCERY STORE WITH A BOTTLE OF VODKA WITHOUT PAYING FOR IT.
Felony?	No
Current Status:	Final
Status Date:	01/26/1989
Disposition Details:	\$150.00 FINE
Broker Statement	I WAS IN ARIZONA FOR MY COLLEGE ROOMATE'S FATHERS FUNERAL. YOU CAN'T PURCHASE ALCOHOL AFTER 1:00 AM IN ARIZONA. IT WAS ABOUT 1:15 AND WE WERE ON OUR WAY HOME. I WENT INTO THE SAFEWAY AND TRIED TO WALK OUT WITH A BOTTLE OF VODKA. I WAS STOPPED BY A CLERK WHO I TRIED TO HAND THE BOTTLE BACK TO HE GRABBED ME AND SECURITY SHOWED UP. POLICE WERE CALLED AND I WAS ARRESTED.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Infinex Investments, Inc.
Allegations:	Client alleges rep underestimated tax liability in VA surrender and executed transactions in an incorrect order, resulting in higher taxes due.
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	\$15,000.00
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:	01/14/2019
Complaint Pending?	No
Status:	Settled
Status Date:	07/15/2019
Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	First met client 4/18/17 and specifically asked the origin of the non-qualified annuity. Client indicated, as I noted, "from Union Savings Bank". No indication in two subsequent months this might not be the case. Calculated from her 5 years earlier investment gain, we discussed an \$18,000 potential taxable gain. The client felt comfortable paying this. Originally the client agreed with my recommendation to move all assets into mutual funds. To get a living income benefit the client made a last minute decision to keep half the funds in an annuity. The client wanted no restrictions so a new carrier was selected. As the client indicated comfort with taxation, the order of processing the transactions was not a concern; mutual funds were processed first. Note the new annuity was established with a stepped up basis eliminating taxes on \$24,000.00 in the future.
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End of Report

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