IAPD Report

ABE POMERANC

CRD# 2036560

Section Title	Page(s)

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

ABE POMERANC (CRD# 2036560)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	02/14/2019
IA	WELLS FARGO ADVISORS	CRD# 19616	07/30/2019

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **19** 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	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY	06/09/2009 - 02/25/2019
B	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY	10/14/2008 - 02/25/2019
B	MORGAN STANLEY & CO. INCORPORATED	8209	NEW YORK, NY	04/02/2007 - 10/20/2008

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 **19** 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 Representative	Approved	02/14/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/14/2019
B	FINRA	General Securities Representative	Approved	02/14/2019
B	NYSE American LLC	General Securities Representative	Approved	02/14/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/14/2019
B	NYSE Texas, Inc.	General Securities Representative	Approved	02/14/2019
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	02/14/2019
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/14/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/14/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	02/14/2019
B	New York Stock Exchange	General Securities Representative	Approved	02/14/2019
B	California	Agent	Approved	10/04/2023
B	Connecticut	Agent	Approved	02/14/2019

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	02/14/2019
B	Florida	Agent	Approved	02/15/2019
B	Georgia	Agent	Approved	07/26/2019
B	Maryland	Agent	Approved	07/16/2024
B	Massachusetts	Agent	Approved	02/20/2019
B	Nevada	Agent	Approved	08/17/2021
B	New Jersey	Agent	Approved	02/14/2019
IA	New Jersey	Investment Adviser Representative	Approved	07/30/2019
B	New Mexico	Agent	Approved	11/04/2021
B	New York	Agent	Approved	02/14/2019
IA	New York	Investment Adviser Representative	Approved	07/27/2021
B	North Carolina	Agent	Approved	02/14/2019
B	Oregon	Agent	Approved	12/08/2023
B	Pennsylvania	Agent	Approved	09/15/2021
B	South Carolina	Agent	Approved	11/28/2022
B	Tennessee	Agent	Approved	03/21/2024
B	Vermont	Agent	Approved	01/23/2024
B	Virginia	Agent	Approved	02/14/2019
B	Washington	Agent	Approved	10/04/2023

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

WELLS FARGO ADVISORS
535 MADISON AVE 16TH FL
NEW YORK, NY 10022

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	02/17/2004
B	General Securities Representative Examination (S7)	Series 7	04/21/1990

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/13/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1990

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/09/2009 - 02/25/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	10/14/2008 - 02/25/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	04/02/2007 - 10/20/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	03/17/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	NEW YORK, NY
B	07/01/2003 - 03/17/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	02/18/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/23/1993 - 01/29/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/31/1993 - 09/24/1993	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	04/16/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	04/27/1990 - 04/07/1992	GRUNTAL & CO. INCORPORATED	CRD# 372	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
02/2019 - Present	Wells Fargo Clearing Services LLC	Registered Rep	Y	New York, NY, United States
10/2008 - 02/2019	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW YORK, 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.

TRUSTEE FOR MOTHER-IN-LAW'S TRUST, INV RELATED, NEW YORK, NY, START: 3/10/2022, 5 HRS/MONTH, 1 HR 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:	Individual
Regulatory Action Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Other: STIPULATION AND FINE
Date Initiated:	04/25/2002
Docket/Case Number:	NO. 2006-0300-S
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES
Product Type:	Annuity-Variable
Allegations:	RESPONDENT ADMITS THAT HE VIOLATED SECTION 2123 OF THE INSURANCE LAW AND DEPARTMENT REGULATION 60 (11 NYCRR 51.5) IN CONNECTION WITH AN ANNUITY CONTRACT PLACEMENT THAT INVOLVED REPLACEMENT OF AN ANNUITY CONTRACT WITHIN THE MEANING OF SECTION 2123 OF THE INSURANCE LAW & DEPARTMENT REGULATION 60 (11 NYCRR 51.2), IN THAT HE FAILED TO PROVIDE THE APPLICANT WITH A DEFINITION OF REPLACEMENT FORM AND A DISCLOSURE STATEMENT FORM PRIOR TO THE TIME THAT HE SIGNED THE ANNUITY CONTRACT APPLICATION; AND (B) FAILED TO LEAVE A COPY OF THE COMPLETED AND SIGNED DISCLOSURE STATEMENT WITH THE APPLICANT.
Current Status:	Final
Resolution:	Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	03/22/2007
Sanctions Ordered:	Other: PENALTY IN THE SUM OF $750.00
Broker Statement	RESPONDENT STATED THE FOLLOWING MITIGATION: IS A REGISTERED REPRESENTATIVE WITH MANY YEARS EXPERINCE IN THE SECURITIES INDUSTRY WHO HAS NOT HAD ANY COMPLAINTS OR DISCIPLINARY HISTORY AS INDICATED BY HIS RECORD ON CRD MAINTAINED BY THE NASD; AT THE TIME RESPONDENT PROCESSED THE ANNUITY TRANSACTION AT ISSUE, RESPONDENT HAD NOT RECEIVED ADEQUATE TRAINING FROM PRUDENTIAL INSURANCE CO IN HOW TO EFFECTUATE A REGULATION 60 TRANSACTION AND WAS INSTEAD ENCOURAGED BY PRUDENTIAL TO RELY UPON PRUDENTIAL'S ANNUITY SALES DESK THAT AIDED REGISTERED REPS IN EFFECTUATING ANNUITY TRANSACTIONS GOVERNED BY REGULATION 60; RESPONDENT DID IN FACT RELY UPON PRUDENTIAL'S ANNUITY SALES DESK IN CONNECTION WITH THE ANNUITY TRANSACTION AT ISSUE; AND THE ANNUITANT NEVER FILED A COMPLAINT WITH THE DEPARTMENT REGARDING THE MATTER. RESPONDENT WAIVED HIS RIGHT TO TO NOTICE AND A HEARING ON THE CHARGE AND AGREES, IN LIEU OF ANY OTHER DISCIPLINARY ACTION WHICH MIGHT BE TAKEN BY THE DEPARTMENT IN CONSEQUENCE OF THE FOREGOING, TO THE IMPOSITION OF A PENALTY IN THE SUM OF $750. RECEIPT ACKNOWLEDGED. RESPONDENT HAS NOT PREVIOUSLY BEEN DISCIPLINED BY THE DEPARTMENT.

End of Report

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