



IAPD Report

ANDREW MARTIN

CRD# 2138102

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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

ANDREW MARTIN (CRD# 2138102)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	01/04/2024
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	01/04/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	SCHAUMBURG, IL	07/01/2003 - 01/04/2024
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	SCHAUMBURG, IL	07/01/2003 - 01/04/2024
IA	PRUDENTIAL SECURITIES INCORPORATED	7471	SCHAUMBURG, IL	06/03/2002 - 07/01/2003

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	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 **26** 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 Representative	Approved	01/04/2024
B FINRA	General Securities Sales Supervisor	Approved	01/04/2024
B Alaska	Agent	Approved	01/04/2024
B Arizona	Agent	Approved	01/04/2024
B Arkansas	Agent	Approved	01/04/2024
B California	Agent	Approved	01/04/2024
B Colorado	Agent	Approved	01/04/2024
B Florida	Agent	Approved	01/04/2024
B Idaho	Agent	Approved	01/04/2024
B Illinois	Agent	Approved	01/10/2024
IA Illinois	Investment Adviser Representative	Approved	01/10/2024
B Indiana	Agent	Approved	01/12/2024
B Kansas	Agent	Approved	01/04/2024



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	01/04/2024
B Maryland	Agent	Approved	01/04/2024
B Massachusetts	Agent	Approved	01/04/2024
B Michigan	Agent	Approved	01/04/2024
B Minnesota	Agent	Approved	01/04/2024
B Missouri	Agent	Approved	01/04/2024
B Nebraska	Agent	Approved	01/04/2024
B North Carolina	Agent	Approved	01/04/2024
B Ohio	Agent	Approved	01/04/2024
B Oregon	Agent	Approved	10/29/2025
B Pennsylvania	Agent	Approved	01/04/2024
B South Carolina	Agent	Approved	01/04/2024
B Texas	Agent	Approved	01/04/2024
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2024
B Virginia	Agent	Approved	01/04/2024
B Washington	Agent	Approved	01/04/2024
B Wisconsin	Agent	Approved	01/04/2024

Branch Office Locations

WELLS FARGO ADVISORS



Qualifications

500 PARK BOULEVARD 785
ITASCA, IL 60143

WELLS FARGO ADVISORS
MARENGO, IL





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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	08/09/2023

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	01/08/2002
 General Securities Representative Examination (S7)	Series 7	05/07/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1991

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	07/01/2003 - 01/04/2024	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCHAUMBURG, IL
IA	07/01/2003 - 01/04/2024	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCHAUMBURG, IL
IA	06/03/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	SCHAUMBURG, IL
B	05/31/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	05/01/2002 - 06/21/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	ITASCA, IL
B	05/11/1998 - 06/21/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	09/01/1994 - 05/11/1998	PRINCIPAL FINANCIAL SECURITIES, INC.	CRD# 260	DALLAS, TX
B	01/01/1992 - 09/01/1994	HAMILTON INVESTMENTS, INC.	CRD# 821	
B	05/08/1991 - 12/18/1991	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
01/2024 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	CHICAGO, IL, United States
11/2016 - 01/2024	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ITASCA, IL, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	ITASCA, IL, United States



Registration & Employment History



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.

ILLINOIS HOCKEY OFFICIALS ASSOCIATION, NOT INV RELATED, ILLINOIS, START: 1/18/24, 8 HRS PER MONTH, 0 HRS DURING TRADING, YOUTH HOCKEY REFEREE;
MARTIN & MARTIN INVESTMENT GROUP, LLC; INV. RELATED; BARTLETT,IL; 45% OWNERSHIP; START DATE 01/08/2024;
NUMBER OF HOURS PER MONTH160; NUMBER OF HOURS DURING TRADING 160; FINET PRACTICE.



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	2

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 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES N/K/A WACHOVIA SECURITIES, LLC
Allegations:	SUITABILITY, MISREPRESENTATIONS, OMISSIONS, BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES
Alleged Damages:	\$230,703.58

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-04097](#)

Date Notice/Process Served: 06/10/2004

Arbitration Pending? No

Disposition: Denied

Disposition Date: 11/14/2005

Disposition Detail: ANY AND ALL CLAIMS ASSERTED BY CLAIMANTS ARE DENIED.

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLAIMANT ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS

Product Type: Mutual Fund(s)

Alleged Damages: \$230,703.58

Customer Complaint Information

Date Complaint Received: 06/22/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/22/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE NO. 04-04097](#)

Date Notice/Process Served: 06/22/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/30/2005

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE CLAIM AGAINST THE FA WAS WITHDRAWN AND DISMISSED AS PART OF THE SETTLEMENT AND HE MADE NO CONTRIBUTION TO THE SETTLEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC AND PRUDENTIAL SECURITIES

Allegations: CLAIMANTS ALLEGE LOSS INCURRED IN THEIR JOINT ACCOUNT IN 2000 DUE TO REPORTEDLY UNSUITABLE INVESTMENTS IN TECH STOCKS & FUNDS, MISREPRESENTATIONS AND NEGLIGENCE. CLAIMED DAMAGES OF \$230,703.58.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$230,703.60

Customer Complaint Information

Date Complaint Received: 06/18/2004



Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/18/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASDR CASE NO. 04-04097](#)

Date Notice/Process Served: 06/18/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/30/2005

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL RESOLUTION: THE CLAIM AGAINST THE FA WAS WITHDRAWN AND DISMISSED AS PART OF THE SETTLEMENT AND HE MADE NO CONTRIBUTION TO THE SETTLEMENT. WACHOVIA SECURITIES, LLC RESOLUTION: THE CLAIM WAS DENIED ON 11/14/2005.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY; BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$381,151.79

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #94-00041](#)

Date Notice/Process Served: 02/07/1994

Arbitration Pending? No

Disposition: Other

Disposition Date: 09/07/1995

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$178,234.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST HAS BEEN DENIED



IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HAMILTON INVESTMENTS

Allegations: SUITABILITY; BREACH OF FIDUCIARY DUTY; MISREPRESENTATION; ACCOUNT RELATED FAILURE TO SUPERVISE.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$381,151.79

Customer Complaint Information

Date Complaint Received: 12/01/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/07/1995

Settlement Amount: \$178,234.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-00041](#)

Date Notice/Process Served: 02/07/1994

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/07/1995

Monetary Compensation Amount: \$178,234.00

Individual Contribution Amount: \$0.00

Broker Statement

ACTUAL COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$178,234 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL.

AS [CUSTOMER] ADMITTED DURING THE HEARING IN THIS ARBITRATION, THE MAJORITY OF THE TRADES WERE UNSOLICITED. THE RISKS AND CHARACTERISTICS OF ALL TRANSACTIONS WERE FULLY DISCLOSED AND CONSISTENT WITH THE [CUSTOMERS'] INVESTMENT OBJECTIVE. HAD THE PLAN BEEN GIVEN MORE THAN 4 MONTHS TO MATURE, WE HAVE PROVEN THE PLAN WOULD HAVE BEEN PROFITABLE. I DO NOT BELIEVE THE PANEL COULD HAVE RENDERED A FAIR DECISION



WHEN ONE OF THE ARBITRATORS SLEPT THROUGH MOST OF THE HEARING.



End of Report

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