



## IAPD Report

# DAVID MANUEL TARRIO

CRD# 2169052

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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

### DAVID MANUEL TARRIO (CRD# 2169052)

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 **07/07/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	07/26/2022
<b>IA</b>	WELLS FARGO ADVISORS	CRD# 19616	09/27/2022

### QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **2** 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>B</b>	MONEYLION SECURITIES, LLC	298395	New York, NY	08/16/2019 - 01/16/2020
<b>B</b>	J.P. MORGAN SECURITIES LLC	79	NEW YORK, NY	11/21/2012 - 01/08/2019
<b>IA</b>	J.P. MORGAN SECURITIES LLC	79	NEW YORK, NY	11/21/2012 - 01/08/2019

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?

**No**



## 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 2 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.	Compliance Official	Approved	07/26/2022
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	07/26/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/26/2022
B	Cboe Exchange, Inc.	Compliance Officer	Approved	07/26/2022
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/26/2022
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	07/26/2022
B	FINRA	Compliance Officer	Approved	07/26/2022
B	FINRA	General Securities Principal	Approved	07/26/2022
B	FINRA	General Securities Representative	Approved	07/26/2022
B	FINRA	General Securities Sales Supervisor	Approved	07/26/2022
B	NYSE American LLC	Compliance Officer	Approved	07/26/2022
B	NYSE American LLC	Compliance Official	Approved	07/26/2022



## Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Principal	Approved	07/26/2022
B	NYSE American LLC	General Securities Representative	Approved	07/26/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	07/26/2022
B	NYSE Arca, Inc.	Compliance Officer	Approved	07/26/2022
B	NYSE Arca, Inc.	Compliance Official	Approved	07/26/2022
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/26/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/26/2022
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/26/2022
B	NYSE Texas, Inc.	Compliance Officer	Approved	07/26/2022
B	NYSE Texas, Inc.	Compliance Official	Approved	07/26/2022
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/26/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/26/2022
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/26/2022
B	Nasdaq GEMX, LLC	Compliance Official	Approved	07/26/2022
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	07/26/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	07/26/2022
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	07/26/2022
B	Nasdaq ISE, LLC	Compliance Official	Approved	07/26/2022
B	Nasdaq ISE, LLC	General Securities Principal	Approved	07/26/2022



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	07/26/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	07/26/2022
<b>B</b> Nasdaq PHLX LLC	Compliance Official	Approved	07/26/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Principal	Approved	07/26/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	07/26/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/26/2022
<b>B</b> Nasdaq Stock Market	Compliance Official	Approved	07/26/2022
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	07/26/2022
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/26/2022
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/26/2022
<b>B</b> New York Stock Exchange	Compliance Officer	Approved	07/26/2022
<b>B</b> New York Stock Exchange	Compliance Official	Approved	07/26/2022
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	07/26/2022
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	07/26/2022
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	07/26/2022
<b>B</b> Connecticut	Agent	Approved	07/28/2022
<b>B</b> New York	Agent	Approved	09/27/2022
<b>IA</b> New York	Investment Adviser Representative	Approved	09/27/2022



## Qualifications

### Branch Office Locations

#### WELLS FARGO ADVISORS

150 E 42ND ST  
41ST & 42ND FLS  
NEW YORK, NY 10017







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





#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/12/2002
	Registered Options Principal Examination (S4)	Series 4	10/02/2001
	Compliance Officer Examination (S14)	Series 14	11/25/1997
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/27/1995

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	07/25/2007
	General Securities Representative Examination (S7)	Series 7	04/01/1992

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/20/2022
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/08/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/28/1992





## 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
B	08/16/2019 - 01/16/2020	MONEYLION SECURITIES, LLC	CRD# 298395	New York, NY
B	11/21/2012 - 01/08/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
IA	11/21/2012 - 01/08/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
IA	01/21/2009 - 09/27/2012	BARCLAYS CAPITAL INC.	CRD# 19714	NEW YORK, NY
B	09/22/2008 - 09/27/2012	BARCLAYS CAPITAL INC.	CRD# 19714	NEW YORK, NY
IA	04/20/2007 - 10/15/2008	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	02/26/2007 - 09/22/2008	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	08/13/2001 - 02/20/2007	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
IA	08/13/2001 - 07/29/2002	J. P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	04/03/1992 - 08/13/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
06/2022 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERD REP	Y	NEW YORK, NY, United States
09/2021 - Present	WINDSOR	CO-OWNER	N	NEW YORK, NY, United States
01/2020 - 09/2021	UNEMPLOYED	UNEMPLOYED	N	BROOKLYN, NY, United States
03/2019 - 01/2020	MoneyLion Securities, LLC	Chief Compliance Officer	Y	New York, NY, United States
11/2012 - 12/2018	J.P MORGAN SECURITIES LLC.	MANAGING DIRECTOR	Y	NEW YORK, NY, 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.

No information reported.



## End of Report

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