IAPD Report

Matthew Howard Fuller

CRD# 2221854

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

Matthew Howard Fuller (CRD# 2221854)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	CRD# 116407	02/03/2025
B	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	11/03/2025

QUALIFICATIONS

This representative is currently registered in **1** 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	CABOT LODGE SECURITIES LLC	159712	Dallas, TX	03/06/2020 - 02/26/2025
IA	XO WEALTH MANAGEMENT	281767	DALLAS, TX	01/18/2025 - 02/14/2025
IA	XO WEALTH MANAGEMENT	281767	DALLAS, TX	04/20/2016 - 12/31/2024

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

Employment 1 of 2

Firm Name: **WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**

Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441

Firm ID#: 130139

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/03/2025
B	Texas	Agent	Approved	11/04/2025

Branch Office Locations

14850 QUORUM DR
SUITE 350
DALLAS, TX 75254

Employment 2 of 2

Firm Name: **WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**

Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441

Firm ID#: 116407

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	02/03/2025

Branch Office Locations

WEALTH ENHANCEMENT ADVISORY SERVICES, LLC
14850 QUORUM DR
SUITE 350
DALLAS, TX 75254

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/21/2011
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/17/2011

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/07/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/21/1992

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
B	03/06/2020 - 02/26/2025	CABOT LODGE SECURITIES LLC	CRD# 159712	Dallas, TX
IA	01/18/2025 - 02/14/2025	XO WEALTH MANAGEMENT	CRD# 281767	DALLAS, TX
IA	04/20/2016 - 12/31/2024	XO WEALTH MANAGEMENT	CRD# 281767	DALLAS, TX
B	08/10/2018 - 11/21/2019	IFS SECURITIES	CRD# 40375	Dallas, TX
B	01/19/2016 - 08/09/2017	THOMPSON DAVIS & CO., INC.	CRD# 41353	DALLAS, TX
IA	02/06/2015 - 02/29/2016	MCELHENNY SHEFFIELD CAPITAL MANAGEMENT, LLC	CRD# 115120	DALLAS, TX
IA	11/04/2013 - 12/31/2014	MCELHENNY SHEFFIELD CAPITAL MANAGEMENT, LLC	CRD# 115120	DALLAS, TX
B	10/22/2013 - 11/21/2013	GIRARD SECURITIES, INC.	CRD# 18697	WACO, TX
IA	07/31/2009 - 10/07/2013	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	PLANO, TX
B	07/27/2009 - 10/07/2013	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	PLANO, TX
IA	12/06/2005 - 07/27/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FRISCO, TX
B	11/16/2005 - 07/27/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FRISCO, TX
B	07/01/2003 - 11/18/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 11/18/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	PLANO,, TX
B	08/21/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	08/21/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PLANO, TX

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	08/14/2000 - 09/05/2000	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/08/1999 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	11/01/1996 - 01/21/1999	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	10/22/1993 - 11/01/1996	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	05/08/1992 - 09/22/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
02/2025 - Present	WEALTH ENHANCEMENT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	DALLAS, TX, United States
02/2025 - Present	WEALTH ENHANCEMENT GROUP	SVP, FINANCIAL ADVISOR	Y	DALLAS, TX, United States
01/2023 - 01/2025	Fuller Holbrook Investments	Owner	Y	Dallas, TX, United States
06/2022 - 01/2025	A Parent Media Co.	n/a	N	Calgary, Canada
03/2020 - 01/2025	Cabot Lodge Securities LLC	Registered Representative	Y	New York, NY, United States
03/2016 - 01/2025	XO Wealth Management	Registered Investment Advisor	Y	Dallas, TX, United States
01/2016 - 01/2025	FULLER WEALTH MANAGEMENT LLC	Founder-Managing Director	Y	DALLAS, TX, United States
01/2000 - 01/2025	AUTHOR	AUTHOR- OWNER	N	Dallas, TX, United States
07/2018 - 11/2019	IFS Securities Inc.	Registered Representative	Y	Atlanta, GA, United States
11/2015 - 08/2017	Thompson Davis & Co., Inc.	Financial Consultant	Y	Richmond, VA, 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.

DALLAS STARS FOUNDATION - DALLAS TX. NON-PROFIT. 2 HOURS PER MONTH, 0 HOURS DURING TRADING HOURS.
AUTHOR, "THE SMART LITTLE SAVER" - DALLAS, TX. 0 HOURS PER MONTH, 0 HOURS DURING TRADING HOURS.
A LIGHT IN DARK PLACES - DALLAS, TX. NON-PROFIT. 2 HOURS PER MONTH, 0 HOURS DURING TRADING HOURS.
NATIONAL KIDNEY FOUNDTATION TEXAS - DALLAS, TX. NON-PROFIT. 2 HOURS PER MONTH, 0 HOURS DURING TRADING HOURS.
FULLER HOLBROOK INVESTMENTS. DALLAS, TX. LLC TO HOLD OUTSIDE INVESTMENTS. 2 HOURS PER MONTH, 0 HOURS DURING TRADING HOURS,

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:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	CLAIMANT ALLEGES THAT ANNUITY DID NOT HAVE THE APPROPRIATE SURVIVOR BENEFIT. TIME FRAME: MARCH 2000.
Product Type:	Other: ANNUITY
Alleged Damages:	$81,001.81

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-01729
Date Notice/Process Served:	08/26/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/19/2013
Monetary Compensation Amount:	$116,950.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	DALLAS COUNTY DISTRICT COURT
Location of Court:	DALLAS, TEXAS
Docket/Case #:	DC10-04560
Date Notice/Process Served:	09/28/2010
Litigation Pending?	No
Disposition:	Other: COMPELLED TO ARBITRATION
Disposition Date:	03/31/2011

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC / LEXIDIA
Allegations:	TIME FRAME: 2000 PLAINTIFF ALLEGES THAT ANNUITY WAS MISREPRESENTED TO HER DECEASED HUSBAND IN 2000
Product Type:	Other: ANNUITY
Alleged Damages:	$81,001.81

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-01729
Date Notice/Process Served:	08/26/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/19/2013
Monetary Compensation Amount:	$116,950.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	DALLAS COUNTY DISTRICT COURT
Location of Court:	DALLAS, TEXAS
Docket/Case #:	DC10-04560
Date Notice/Process Served:	09/28/2010
Litigation Pending?	No
Disposition:	Other: COMPELLED TO ARBITRATION
Disposition Date:	03/31/2011

Broker Statement	I DENY THE ALLEGATION AND VIGOROUSLY DEFEND MYSELF. I DID EXACTLY WHAT CLIENT ASKED FOR IN MARCH 2000. CLIENT TRANSFERRED TO ANOTHER ADVISOR IN 2001 AND RECEIVED STATEMENTS FOR MORE THAN 10 YEARS. THE INVESTMENT IS COMPLETELY INTACT AND IS PERFORMING AS INTENDED. PLEASE NOTE CLAIMANTS LITIGIOUS HISTORY.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.C. BRADFORD & CO., L.L.C.
Allegations:	POA ON CUSTOMER'S ACCOUNTS ALLEGES THAT PURCHASES OF CLASS A & B MUTUAL FUNDS ARE NOT SUITABLE AND WERE UNAUTHORIZED TRANSACTIONS. SHE FURTHER CLAIMS THAT PURCHASES OF PREFERRED STOCKS WERE UNSUITABLE. CUSTOMER REQUESTS THAT THE ACCOUNT IS REFUNDED THE LOSS CLAIMED TO BE $13,877.25, CLASS B SHARES BE CONVERTED TO CLASS A SHARES AND ALSO THAT FEES ($94.93) CHARGED TO THE TRUST ACCOUNT AND IRA'S BE REFUNDED.
Product Type:	Mutual Fund(s)
Alleged Damages:	$13,877.25

Customer Complaint Information

Date Complaint Received:	01/25/2000
Complaint Pending?	No
Status:	Denied
Status Date:	07/17/2000
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE MUTUAL FUND PURCHASES WERE AUTHORIZED BY CUSTOMER AND PURCHASES WERE MADE FROM TIME TO TIME, AT HER REQUEST, OVER APPROXIMATELY A 2 YEAR PERIOD OF TIME.*********CLAIM DENIED ON 03/24/2000, NO FURTHER CONTACT FROM CLIENT SINCE 3/27/00. CASE CLOSED.

End of Report

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