IAPD Report

John Kenneth Moninger

CRD# 2494976

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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

John Kenneth Moninger (CRD# 2494976)

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 **01/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLSPRING FUNDS DISTRIBUTOR, LLC	CRD# 133366	12/22/2022
IA	ALLSPRING FUNDS MANAGEMENT, LLC	CRD# 110841	05/24/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	EATON VANCE MANAGEMENT	104859	BOSTON, MA	12/05/2012 - 07/11/2023
B	EATON VANCE DISTRIBUTORS, INC.	37731	BOSTON, MA	12/05/2012 - 12/19/2022
IA	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	04/25/2007 - 12/07/2012

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

Employment 1 of 2

Firm Name: **ALLSPRING FUNDS MANAGEMENT, LLC**

Main Address: 1415 VANTAGE PARK DRIVE
3RD FLOOR
CHARLOTTE, NC 28203

Firm ID#: 110841

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	05/24/2024
IA	North Carolina	Investment Adviser Representative	Approved	08/05/2024

Branch Office Locations

ALLSPRING FUNDS MANAGEMENT, LLC
1415 VANTAGE PARK DRIVE
Charlotte, NC 28203

ALLSPRING FUNDS MANAGEMENT, LLC
Cornelius, NC

Employment 2 of 2

Firm Name: **ALLSPRING FUNDS DISTRIBUTOR, LLC**

Main Address: 1415 VANTAGE PARK DRIVE
CHARLOTTE, NC 28203

Firm ID#: 133366

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/22/2022
B	FINRA	General Securities Representative	Approved	12/22/2022
B	FINRA	General Securities Sales Supervisor	Approved	12/22/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	12/22/2022
B	Alabama	Agent	Approved	12/22/2022

Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	12/22/2022
B	Arizona	Agent	Approved	12/22/2022
B	Arkansas	Agent	Approved	12/22/2022
B	California	Agent	Approved	12/22/2022
B	Colorado	Agent	Approved	12/22/2022
B	Connecticut	Agent	Approved	12/22/2022
B	Delaware	Agent	Approved	12/22/2022
B	District of Columbia	Agent	Approved	12/22/2022
B	Florida	Agent	Approved	12/22/2022
B	Georgia	Agent	Approved	12/22/2022
B	Hawaii	Agent	Approved	12/22/2022
B	Idaho	Agent	Approved	12/22/2022
B	Illinois	Agent	Approved	12/22/2022
B	Indiana	Agent	Approved	12/22/2022
B	Iowa	Agent	Approved	12/22/2022
B	Kansas	Agent	Approved	12/22/2022
B	Kentucky	Agent	Approved	12/22/2022
B	Louisiana	Agent	Approved	12/22/2022
B	Maine	Agent	Approved	12/22/2022

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	12/22/2022
B	Massachusetts	Agent	Approved	12/22/2022
B	Michigan	Agent	Approved	12/22/2022
B	Minnesota	Agent	Approved	12/22/2022
B	Mississippi	Agent	Approved	12/22/2022
B	Missouri	Agent	Approved	12/22/2022
B	Montana	Agent	Approved	12/22/2022
B	Nebraska	Agent	Approved	12/22/2022
B	Nevada	Agent	Approved	12/22/2022
B	New Hampshire	Agent	Approved	12/22/2022
B	New Jersey	Agent	Approved	12/22/2022
B	New Mexico	Agent	Approved	12/22/2022
B	New York	Agent	Approved	12/22/2022
B	North Carolina	Agent	Approved	12/22/2022
B	North Dakota	Agent	Approved	12/22/2022
B	Ohio	Agent	Approved	12/22/2022
B	Oklahoma	Agent	Approved	12/22/2022
B	Oregon	Agent	Approved	12/22/2022
B	Pennsylvania	Agent	Approved	12/22/2022

Qualifications

	Regulator	Registration	Status	Date
B	Puerto Rico	Agent	Approved	12/22/2022
B	Rhode Island	Agent	Approved	12/22/2022
B	South Carolina	Agent	Approved	12/22/2022
B	South Dakota	Agent	Approved	12/22/2022
B	Tennessee	Agent	Approved	12/22/2022
B	Texas	Agent	Approved	12/22/2022
B	Utah	Agent	Approved	12/22/2022
B	Vermont	Agent	Approved	12/22/2022
B	Virgin Islands	Agent	Approved	12/22/2022
B	Virginia	Agent	Approved	12/22/2022
B	Washington	Agent	Approved	12/22/2022
B	West Virginia	Agent	Approved	12/22/2022
B	Wisconsin	Agent	Approved	12/22/2022
B	Wyoming	Agent	Approved	12/22/2022

Branch Office Locations

1415 Vantage Park Drive
CHARLOTTE, NC 28203

Cornelius, NC

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/23/2010
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/14/2005
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/13/2005

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	02/03/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/09/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1998

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	12/05/2012 - 07/11/2023	EATON VANCE MANAGEMENT	CRD# 104859	BOSTON, MA
B	12/05/2012 - 12/19/2022	EATON VANCE DISTRIBUTORS, INC.	CRD# 37731	BOSTON, MA
IA	04/25/2007 - 12/07/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	04/23/2007 - 12/07/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	09/28/2009 - 04/19/2012	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	CHARLOTTE, NC
IA	03/15/2004 - 03/14/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOS ANGELES, CA
B	08/25/1995 - 03/14/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	04/24/2002 - 02/27/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOS ANGELES, CA
B	02/10/1995 - 07/31/1995	ALLIANCE FUND DISTRIBUTORS, INC.	CRD# 14549	NASHVILLE, TN

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
12/2022 - Present	Allspring Funds Distributor, LLC.	Registered Representative, Head of US Distribution, Chief Executive Officer	Y	Charlotte, NC, United States
12/2022 - Present	Allspring Funds Management, LLC.	Investment Adviser Representative	Y	Charlotte, NC, United States
11/2012 - 12/2022	EATON VANCE DISTRIBUTORS, INC.	SVP, MANAGING DIRECTOR RETAIL	Y	BOSTON, MA, United States
11/2012 - 12/2022	EATON VANCE MANAGEMENT	SVP, MANAGING DIRECTOR RETAIL	Y	BOSTON, MA, 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.

Start Date: 08/01/2025
Name of OBA: UG Solutions
Address: ugsolutions.com
Position: Advisory Board Member
Hours devoted to OBA: 12 per quarter-during evenings and weekends-not during trading hours.
Duties: Strategic Guidance - Provide objective, high-level insights, advice and guidance on the company's direction, growth strategies and long-term planning.

10/16/2023-LLC set up for 59 Dakota Park Edwards, CO 81632
Setting up an LLC for the purpose of owning a new property we are buying. We may rent the property
from time to time and will the rentals through the LLC.
Zero hours during trading hours engaged in OBA
Co-owner with Spouse

*476516 - SEAL Family Foundation; Investment related - No; Carlsbad, California; Non-Profit, Charitable; Board Member, Finance Committee (proprietor, partner, officer, director, employee, trustee, agent); 10/2011; During business hours: 1; After business hours: 3; Business Development/Growth, Fundraising, Investment Decisions/Advice, Check Signing/Funds Disbursements

12/22/22-Addition/Update to the above:- Investment related? Yes, but minor. There is a consultant involved for dealing with small transactions of stock contributions to the org. 90% of funds are in operating cash.
Aprox. 10 hours per month devoted to OBA-most time devoted on evenings and weekends

5/6/24-New OBA:
Name of Business: Money Management Institute
Investment Related: No
Address of OBA: 1410 Broadway, Suite 2601
New York, NY 10018
Nature of Business:
Established in 1997, the Money Management Institute (MMI) is the industry association representing financial services firms that provide financial advice and investment advisory solutions to investors.
Position: Board of Directors-Member
Title: Member, Board of Directors
Re-instated on: 3/31/2024
Aprox hours per month: -see below
During trading hours: between 1-2% of time during business hours
Duties: Board of Directors

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	1

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: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: 1999 - JULY 2004

CLIENT ALLEGES THAT HE WAS TOLD THAT ANYONE WHO HAD MANAGED MONEY MUST BE THINKING OF A FIVE YEAR TIME LINE, NO EXCEPTIONS. CLIENT ALSO ALLEGES THAT THE FIRM HAD A GROUP OF INDIVIDUALS WHO CONSTANTLY REVIEWED PERFORMANCE TO INSURE THE MANAGERS WERE STAYING WITHIN THE STATED GUIDELINES TO ASSURE PERFORMANCE. CLIENT FURTHER ALLEGES HE HOLDS THE FIRM LIABLE BASED ON THE MISREPRESENTATION MADE BY REGISTERED REPRESENTATIVE.

Product Type: Other

Other Product Type(s): MANAGED ACCOUNTS

Alleged Damages: $300,667.00

Customer Complaint Information

Date Complaint Received: 08/14/2008

Complaint Pending? No

Status: Denied

Status Date: 02/17/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC.

Allegations: TIME FRAME: 1999 - JULY 2004 CLIENT ALLEGES THAT HE WAS TOLD THAT ANYONE WHO HAD MANAGED MONEY MUST BE THINKING OF A FIVE YEAR TIME LINE, NO EXCEPTIONS. CLIENT ALSO ALLEGES THAT THE FIRM HAD A GROUP OF INDIVIDUALS WHO CONSTANTLY REVIEWED PERFORMANCE TO INSURE THE MANAGERS WERE STAYING WITHIN THE STATED GUIDELINES TO ASSURE PERFORMANCE. CLIENT FURTHER ALLEGES HE HOLDS THE FIRM LIABLE BASED ON THE MISREPRESENTATION MADE BY THE REGISTERED REPRESENTATIVE.

Product Type: Other

Other Product Type(s): MANAGED ACCOUNTS

Alleged Damages: $300,667.00

Customer Complaint Information

Date Complaint Received: 08/14/2008

Complaint Pending? No

Status: Denied

Status Date: 02/17/2009

Settlement Amount:

Individual Contribution Amount:

End of Report

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