



IAPD Report

CHARLES JERRY LEWIS JR

CRD# 2495723

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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

CHARLES JERRY LEWIS JR (CRD# 2495723)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **29** 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 INVESTMENTS, LLC	10582	WACO, TX	12/13/2000 - 01/03/2011
IA	WELLS FARGO INVESTMENTS, LLC	10582	WACO, TX	12/13/2000 - 01/03/2011
B	WELLS FARGO BROKERAGE SERVICES, L.L.C.	16100	WACO, TX	12/15/2000 - 12/05/2009

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
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 **29** jurisdiction(s) and 6 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 Exchange, Inc.	General Securities Representative	Approved	11/30/2021
B FINRA	General Securities Representative	Approved	01/03/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B Alabama	Agent	Approved	05/08/2026
B Arizona	Agent	Approved	07/25/2019
B Arkansas	Agent	Approved	01/03/2011
B California	Agent	Approved	01/03/2011
B Colorado	Agent	Approved	01/03/2011
B Delaware	Agent	Approved	02/03/2022
B District of Columbia	Agent	Approved	04/15/2025



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	01/03/2011
B	Georgia	Agent	Approved	07/24/2023
B	Hawaii	Agent	Approved	11/17/2014
B	Illinois	Agent	Approved	01/03/2011
B	Indiana	Agent	Approved	09/06/2024
B	Kansas	Agent	Approved	06/08/2021
B	Louisiana	Agent	Approved	01/03/2011
B	Minnesota	Agent	Approved	01/03/2011
B	Nevada	Agent	Approved	01/27/2014
B	New Mexico	Agent	Approved	11/10/2011
B	New York	Agent	Approved	01/03/2011
B	North Carolina	Agent	Approved	07/12/2018
B	Oklahoma	Agent	Approved	01/03/2011
B	Oregon	Agent	Approved	01/03/2011
B	Pennsylvania	Agent	Approved	05/13/2024
B	South Carolina	Agent	Approved	10/19/2023
B	Tennessee	Agent	Approved	03/16/2012
B	Texas	Agent	Approved	01/03/2011
IA	Texas	Investment Adviser Representative	Approved	01/03/2011



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	12/23/2024
B Virginia	Agent	Approved	06/16/2023
B Washington	Agent	Approved	05/05/2026
B Wyoming	Agent	Approved	10/02/2023

Branch Office Locations

WELLS FARGO ADVISORS

1105 WOODDED ACRES DR STE 600
WACO, TX 76710



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	07/01/1994
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/01/1999
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/1994
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	12/13/2000 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	WACO, TX
IA	12/13/2000 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	WACO, TX
B	12/15/2000 - 12/05/2009	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	WACO, TX
B	12/16/1999 - 05/07/2001	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	07/06/1994 - 12/13/2000	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	MINNEAPOLIS, MN

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	WACO, TX, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WACO, TX, 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.

LEWIS FAMILY PROPERTIES, LLC, INV-RELATED, MCGREGOR, TX, FARM/RANCHING, 100% OWNERSHIP, START 6/2015, 10 HRS/MO, 0 DURING TRADING. |

SOUTHEASTERN CONFERENCE (SEC), NOT INV RELATED, BIRMINGHAM, AL, FOOTBALL OFFICIATING, START 1/15/1988, 12 HRS PER MONTH, 0 HRS DURING TRADING, COLLEGE FOOTBALL OFFICIATING. |

BAYLOR UNIVERSITY, NOT INV RELATED, WACO, TX, INSTRUCTOR, START 1/23/2023, 68 HOURS PER MONTH, ZERO HOURS DURING TRADING, TEACHING "COURSE PERSONAL FINANCE DECISIONS" |



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
Customer Dispute	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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/02/2025
Docket/Case Number:	2022075722901
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Lewis consented to the sanctions and to the entry of findings that he obtained reimbursement from his member firm's business-expense programs for fictitious expenses he had not incurred. The findings stated that at or near the year-end reimbursement deadlines for three years, Lewis submitted hundreds of claims to the business-expense programs that were below the \$75 threshold for required receipts and received reimbursement for at least \$657 of fictitious expenses he had not incurred. Lewis had generally incurred legitimate expenses in excess of the falsified claims for which he could have been reimbursed, but he had not reliably documented those expenses and thus did not submit them. After the firm's intervention, Lewis agreed to, and complied with, a requirement that he submit receipts to substantiate all expenses, even small expenses, which was a limitation in addition to the firm's standard requirements.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

12/02/2025

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: One month
Start Date: 01/05/2026
End Date: 02/04/2026

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/15/2025
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: Financial Industry Regulatory Authority
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 12/02/2025
Docket/Case Number: [2022075722901](#)



Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Lewis consented to the sanctions and to the entry of findings that he obtained reimbursement from his member firm's business-expense programs for fictitious expenses he had not incurred. The findings stated that at or near the year-end reimbursement deadlines for three years, Lewis submitted hundreds of claims to the business-expense programs that were below the \$75 threshold for required receipts and received reimbursement for at least \$657 of fictitious expenses he had not incurred. Lewis had generally incurred legitimate expenses in excess of the falsified claims for which he could have been reimbursed, but he had not reliably documented those expenses and thus did not submit them. After the firm's intervention, Lewis agreed to, and complied with, a requirement that he submit receipts to substantiate all expenses, even small expenses, which was a limitation in addition to the firm's standard requirements.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/02/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	One month
Start Date:	01/05/2026
End Date:	02/04/2026
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/15/2025
Was any portion of penalty waived?	No
Amount Waived:	





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: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO BROKERAGE SERVICES, LLC. & WELLS FARGO INVESTMENTS, LLC.

Allegations: LITIGATION ALLEGATIONS: ON OR BEFORE 2000, CHARLES LEWIS PLACED TRUST FUNDS IN UNSUITABLE INVESTMENTS AND RECOMMENDED MARGIN TRADING WITHOUT EXPLAINING RISK INVOLVED. THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES ARE OVER \$5,000.
COMPLAINT ALLEGATIONS: CLIENT ALLEGES MUTUAL FUND INVESTMENTS MADE BY TRUSTEE AND WELLS FARGO WERE UNSUITABLE.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/20/2006

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 11/19/2007

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: HARRIS COUNTY DISTRICT COURT

Location of Court: HARRIS COUNTY, TEXAS

Docket/Case #: CAUSE NO. 2006-51424

Date Notice/Process Served: 11/19/2007

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/23/2010

Monetary Compensation Amount: \$500,000.00

Individual Contribution Amount: \$0.00

Broker Statement ***APPELATE COURT OVERTURNED SUMMARY JUDGMENT, THE CASE WAS



ALLOWED TO PROCEED AND THE MATTER HAS BEEN SETTLED.***
ALL CLAIMS WERE DISMISSED VIA SUMMARY JUDGMENT ORDER. THE PLAINTIFFS' CLAIMS ARE BARRED BY THE APPLICABLE STATUTES OF LIMITATIONS. THE PLAINTIFFS DID NOT HAVE STANDING TO ASSERT CLAIMS AGAINST THE ADVISOR. THE PLAINTIFFS' DAMAGES, IF ANY, WERE CAUSED BY THE NEGLIGENCE OF THE PLAINTIFFS. UNDER ALL APPLICABLE STATUTE OF LIMITATIONS, THE CLAIM WAS TIME BARRED. FURTHERMORE, THE NASD REJECTED THIS CLAIM IN JULY OF 2006 AS THE PLAINTIFFS WERE NOT THE ACCOUNT HOLDERS AND DID NOT AGREE TO ARBITRATION.



End of Report

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