IAPD Report

RICHARD JOHN JENNINGS JR

CRD# 2509021

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

RICHARD JOHN JENNINGS JR (CRD# 2509021)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	07/28/2014
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	07/28/2014

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **19** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	ALLENTOWN, PA	01/02/2009 - 07/29/2014
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ALLENTOWN, PA	07/07/2008 - 07/29/2014
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	ALLENTOWN, PA	07/14/2008 - 01/02/2009

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

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 **19** 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 Principal	Approved	09/11/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/11/2021
B	FINRA	General Securities Representative	Approved	07/28/2014
B	FINRA	General Securities Principal	Approved	05/13/2016
B	NYSE American LLC	General Securities Representative	Approved	07/28/2014
B	NYSE American LLC	General Securities Principal	Approved	05/13/2016
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/28/2014
B	Nasdaq PHLX LLC	General Securities Principal	Approved	05/13/2016
B	Nasdaq Stock Market	General Securities Representative	Approved	07/28/2014
B	Nasdaq Stock Market	General Securities Principal	Approved	05/13/2016
B	New York Stock Exchange	General Securities Representative	Approved	07/28/2014
B	New York Stock Exchange	General Securities Principal	Approved	05/13/2016
B	Alabama	Agent	Approved	03/08/2024

Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	10/22/2025
B	California	Agent	Approved	07/31/2019
B	Colorado	Agent	Approved	06/02/2023
B	Connecticut	Agent	Approved	07/28/2014
B	Delaware	Agent	Approved	03/20/2024
B	District of Columbia	Agent	Approved	09/06/2024
B	Florida	Agent	Approved	12/21/2017
B	Georgia	Agent	Approved	10/05/2023
B	Maryland	Agent	Approved	08/07/2014
B	New Jersey	Agent	Approved	07/28/2014
B	New Mexico	Agent	Approved	01/06/2021
B	New York	Agent	Approved	04/28/2020
B	North Carolina	Agent	Approved	09/06/2019
B	Pennsylvania	Agent	Approved	07/28/2014
IA	Pennsylvania	Investment Adviser Representative	Approved	07/28/2014
B	South Carolina	Agent	Approved	01/09/2025
B	Texas	Agent	Approved	03/01/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	03/01/2021

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	03/08/2024
B	Wisconsin	Agent	Approved	12/08/2025

Branch Office Locations

WELLS FARGO ADVISORS
1601 N CEDAR CREST BLVD
ALLENTOWN, PA 18104

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 Principal Examination (S24)	Series 24	09/25/1996
B	Financial and Operations Principal Examination (S27)	Series 27	08/12/1994

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	03/13/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/12/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/20/1995

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
IA	01/02/2009 - 07/29/2014	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	ALLENTOWN, PA
B	07/07/2008 - 07/29/2014	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ALLENTOWN, PA
IA	07/14/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ALLENTOWN, PA
IA	11/16/2007 - 05/22/2008	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ALLENTOWN, PA
B	11/15/2007 - 05/22/2008	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ALLENTOWN, PA
B	12/21/2001 - 12/17/2007	KNBT SECURITIES, INC.	CRD# 115372	BETHLEHEM, PA
B	08/17/1994 - 07/06/2001	SUMMIT FINANCIAL SERVICES GROUP, INC.	CRD# 7246	BETHLEHEM, PA

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	ALLENTOWN, PA, United States
10/2012 - Present	DESALES UNIVERSITY	INSTRUCTOR	N	CENTER VALLEY, PA, United States
07/2014 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	ALLENTOWN, PA, 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.

DESALES UNIVERSITY, NOT INVESTMENT RELATED, CENTER VALLEY, PA. ADJUNCT INSTRUCTOR. STARTED 09/15/12, 1 HOUR MONTHLY,0 DURING TRADING HOURS, FINANCE COURSE INSTRUCTOR.

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

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:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/21/2005
Docket/Case Number:	E9A2004014401
Employing firm when activity occurred which led to the regulatory action:	OAKWOOD FINANCIAL CORP. N/K/A KNBT SECURITIES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULE 2110 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, UTILIZED THE INSTRUMENTALITIES OF INTERSTATE COMMERCE TO ENGAGE IN THE SECURITIES BUSINESS WHILE FAILING TO HAVE AND MAINTAIN SUFFICIENT NET CAPITAL; WHILE CLAIMING THE EXEMPTION PROVIDED BY SEC RULE 15C3-3(K)(2)(II), FAILED TO FULLY MEET ITS REQUIREMENTS IN THAT IT RECEIVED CUSTOMER CHECKS PAYABLE TO ITSELF AND NEITHER RETURNED THE CHECKS TO THE CUSTOMERS NOR INSTRUCTED THEM TO MAKE FUTURE CHECKS PAYABLE TO THE CLEARING DEALER.
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:	07/21/2005
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, JENNINGS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED $7,500, JOINTLY AND SEVERALLY.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITY DEALERS
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	02/10/2005
Docket/Case Number:	MRD200446289 / 20050000762
Employing firm when activity occurred which led to the regulatory action:	OAKWOOD FINANCIAL
Product Type:	No Product
Other Product Type(s):	
Allegations:	PERMITTED THE FIRM TO ACCEPT CHECKS MADE PAYABLE TO ITSELF WHILE OPERATING AS A 50,000.00 BROKER DEALER.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/27/2005
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	$7,500.00 FINE WAS JOINT AND SEVERAL WITH OAKWOOD FINANCIAL.

End of Report

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