



IAPD Report

JOHN PATRICK MASKUBI

CRD# 2619951

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8



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

JOHN PATRICK MASKUBI (CRD# 2619951)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	06/28/2021
IA	WELLS FARGO ADVISORS	CRD# 19616	06/29/2021

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **51** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY	06/25/2007 - 03/16/2021
B	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY	08/23/2005 - 03/16/2021
B	MORGAN STANLEY DW INC.	7556	PURCHASE, NY	01/21/1997 - 08/23/2005

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	3



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 **51** 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.	General Securities Representative	Approved	06/28/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/28/2021
B FINRA	General Securities Representative	Approved	06/28/2021
B NYSE American LLC	General Securities Representative	Approved	06/28/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	06/28/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	06/28/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	06/28/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/28/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/28/2021
B Nasdaq Stock Market	General Securities Representative	Approved	06/28/2021
B New York Stock Exchange	General Securities Representative	Approved	06/28/2021
B Alabama	Agent	Approved	11/01/2024
B Alaska	Agent	Approved	02/02/2026



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	11/13/2024
B Arkansas	Agent	Approved	03/09/2022
B California	Agent	Approved	03/09/2022
B Colorado	Agent	Approved	03/09/2022
B Connecticut	Agent	Approved	09/07/2021
B Delaware	Agent	Approved	03/23/2022
B District of Columbia	Agent	Approved	06/06/2022
B Florida	Agent	Approved	07/06/2021
B Georgia	Agent	Approved	03/11/2022
B Hawaii	Agent	Approved	03/18/2026
B Idaho	Agent	Approved	01/27/2026
B Illinois	Agent	Approved	03/10/2022
B Indiana	Agent	Approved	11/01/2024
B Iowa	Agent	Approved	11/12/2024
B Kansas	Agent	Approved	11/01/2024
B Kentucky	Agent	Approved	03/09/2022
B Louisiana	Agent	Approved	11/15/2024
B Maine	Agent	Approved	10/24/2024
B Maryland	Agent	Approved	06/28/2022



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	06/02/2022
B	Michigan	Agent	Approved	10/19/2023
B	Minnesota	Agent	Approved	11/01/2024
B	Mississippi	Agent	Approved	06/03/2022
B	Missouri	Agent	Approved	03/09/2022
B	Montana	Agent	Approved	01/30/2026
B	Nebraska	Agent	Approved	06/02/2022
B	Nevada	Agent	Approved	10/28/2024
B	New Hampshire	Agent	Approved	11/05/2024
B	New Jersey	Agent	Approved	06/29/2021
IA	New Jersey	Investment Adviser Representative	Approved	06/29/2021
B	New Mexico	Agent	Approved	01/26/2026
B	New York	Agent	Approved	07/02/2021
IA	New York	Investment Adviser Representative	Approved	03/03/2022
B	North Carolina	Agent	Approved	06/02/2022
B	Ohio	Agent	Approved	03/16/2022
B	Oklahoma	Agent	Approved	06/02/2022
B	Oregon	Agent	Approved	07/12/2025
B	Pennsylvania	Agent	Approved	06/29/2021



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	03/15/2022
B Rhode Island	Agent	Approved	11/04/2024
B South Carolina	Agent	Approved	06/03/2022
B South Dakota	Agent	Approved	01/26/2026
B Tennessee	Agent	Approved	11/04/2024
B Texas	Agent	Approved	03/09/2022
IA Texas	Investment Adviser Representative	Restricted Approval	03/10/2022
B Utah	Agent	Approved	03/09/2022
B Vermont	Agent	Approved	10/18/2023
B Virginia	Agent	Approved	06/02/2022
B Washington	Agent	Approved	03/09/2022
B West Virginia	Agent	Approved	01/29/2026
B Wisconsin	Agent	Approved	11/01/2024
B Wyoming	Agent	Approved	01/26/2026

Branch Office Locations

WELLS FARGO ADVISORS
280 PARK AVE 27TH & 29TH 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 0 principal/supervisory exams, 3 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
Futures Managed Funds Examination (S31)	Series 31	04/01/1997
General Securities Representative Examination (S7)	Series 7	12/14/1995

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	03/28/1996

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	06/25/2007 - 03/16/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
B	08/23/2005 - 03/16/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
B	01/21/1997 - 08/23/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	12/15/1995 - 05/28/1997	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ

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
05/2021 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PARK RIDGE, NJ, United States
08/2005 - Present	WELLS FARGO BANK, NA	PREMIER BANKER	Y	Park Ridge, NJ, United States
11/2016 - 05/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, 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.

PUBLIC PARTNERSHIPS, NOT INVT RELATED, BOSTON, MA, CAREGIVER, START 3/13/2022, 22 HOURS PER MONTH, ZERO DURING TRADING, DAILY ACTIVITY HELP FOR SPECIAL NEEDS SISTER.

HEART TO HEART HOME CARE; NOT INVT RELATED, EAST ORANGE, NJ; CAREGIVER; START DATE 3/1/2023, 48 HOURS PER MONTH, ZERO DURING TRADING, DAILY ACTIVITY HELP FOR SPECIAL NEEDS SISTER.



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSDW
Allegations:	CLIENT ALLEGES, INTER ALIA, THE FEE-BASED ACCOUNT SET UP FOR HIM IN 2005 WAS NOT SUITABLE.
Product Type:	No Product
Alleged Damages:	\$21,587.44

Customer Complaint Information

Date Complaint Received:	11/02/2006
Complaint Pending?	No
Status:	Settled
Status Date:	01/08/2007
Settlement Amount:	\$21,587.44
Individual Contribution Amount:	\$0.00
Firm Statement	IN THE INTEREST OF CUSTOMER SERVICE AND TO AVOID THE COST OF POTENTIAL LITIGATION, MORGAN STANLEY, WITHOUT ADMITTING LIABILITY OF ANY KIND, ELECTED TO SETTLE THIS MATTER.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MSDW

Allegations: CLIENT ALLEGES, INTER ALIA, THE FEE-BASED ACCOUNT SET UP FOR HIM FROM JULY 2002 UNTIL THE PRESENT WAS NOT SUITABLE. ALLEGED DAMAGES UNSPECIFIED, BUT ESTIMATED TO BE OVER \$5,000.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/02/2006

Complaint Pending? No

Status: Settled

Status Date: 01/08/2007

Settlement Amount: \$21,587.44

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER WAS A CLIENT WHO OPENED HIS CHOICE ACCOUNT IN JUNE, 2005. IT WAS A MUTUAL DECISION BASED ON HIS EXPECTED LEVEL OF TRADING. I WAS LAID OFF FROM MORGAN STANLEY IN AUGUST, 2005 AS A RESULT OF A "REDUCTION IN FORCE". THE ACCOUNT WAS UNDER MY CONTROL FOR 2 MONTHS. THE CLIENT DIDN'T EXECUTE ONE TRADE SINCE I LEFT AND QUESTIONED WHY MORGAN STANLEY CONTINUED TO CHARGE HIM A QUARTERLY CHOICE FEE FOR A FULL 5 QUARTERS. MORGAN STANLEY HAS AN OBLIGATION TO THEIR CLIENTS TO PERIODICALLY REASSESS WHETHER A FEE BASED ACCOUNT REMAINS APPROPRIATE, WHICH CLEARLY DIDN'T HAPPEN HERE. THIS ACCOUNT APPEARED TO HAVE FALLEN BETWEEN THE CRACKS. I RECEIVED ONE CHOICE FEE FROM THIS ACCOUNT, IN JULY 2005. THE OTHER 5 QUARTERLY FEES WERE BILLED TO THE CLIENT AFTER I JOINED WACHOVIA SECURITIES

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGED THAT HE WAS IMPROPERLY PLACED IN CHOICE ACCOUNT AND HIS ACTIVITY DID NOT WARRANT THE FEES. DAMAGES UNSPECIFIED.

Product Type: Other

Other Product Type(s): CHOICE ACCOUNT

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/14/2005

Complaint Pending? No



Status: Settled
Status Date: 04/11/2006
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGED THAT HE WAS IMPROPERLY PLACED IN CHOICE ACCOUNT AND HIS ACTIVITY DID NOT WARRANT THE FEES. DAMAGES UNSPECIFIED.

Product Type: Other
Other Product Type(s): CHOICE ACCOUNT
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/14/2005
Complaint Pending? No
Status: Settled
Status Date: 04/11/2006
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$0.00

Broker Statement CLIENT WAS IN MORGAN STANLEY'S CHOICE ACCOUNT WHICH IS A FEE-IN-LIEU OF COMMISSION ACCOUNT. THE CLIENT PAID A FEE BASED ON ASSETS UNDER MANAGEMENT FOR TRADING RATHER THAN PAYING A COMMISSION FOR EACH TRADE. THE ACTIVITY AND FEES CHARGED WERE CONSISTENT WITH THE FIRM'S COMPLIANCE QUIDELINES CONCERNING ACTIVITY FOR FEE BASED ACCOUNTS AT THAT TIME. I WAS NEVER CONSULTED WITH RESPECT TO THE SETTLEMENT, THE SETTLEMENT AMOUNT NOR WAS I ASKED TO CONTRIBUTE TOWARDS THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW, INC

Allegations: COMPLAINT ALLEGES THAT MR. MASKUBI MADE UNSUITABLE INVESTMENNT RECOMMENDATIONS IN THE CUSTOMER'S ACCOUNT DURING THE PERIOD MAY 2000 TO SEPTEMBER 2001.

Product Type: Other
Other Product Type(s): EQUITY-LISTED



Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 02/13/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/13/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE NO. 03-00776](#)

Date Notice/Process Served: 02/10/2003

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/30/2003

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement MORGAN STANLEY AND MR. MASKUBI DENIED ALL ALLEGATIONS OF WRONGDOING. THE ARBITRATION PANEL'S AWARD REPRESENTED APPROXIMATELY 10% OF THE CLIENT'S ALLEGED LOSSES.



End of Report

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