



IAPD Report

ROBERT STANTON BARMEN

CRD# 2706282

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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

ROBERT STANTON BARMEN (CRD# 2706282)

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 **07/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	04/05/2023
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	04/05/2023

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **35** 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	MORGAN STANLEY	149777	Pittsburgh, PA	06/23/2016 - 04/21/2023
B	MORGAN STANLEY	149777	Pittsburgh, PA	06/13/2016 - 04/21/2023
IA	DUNMOYLE CAPITAL ADVISORS, LLC	153667	PITTSBURGH, PA	02/25/2011 - 05/09/2016

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 **35** 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	04/05/2023
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/05/2023
B FINRA	General Securities Representative	Approved	04/05/2023
B NYSE American LLC	General Securities Representative	Approved	04/05/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	04/05/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	04/05/2023
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/05/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/05/2023
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/05/2023
B Nasdaq Stock Market	General Securities Representative	Approved	04/05/2023
B New York Stock Exchange	General Securities Representative	Approved	04/05/2023
B Arizona	Agent	Approved	04/05/2023
B Arkansas	Agent	Approved	07/21/2025



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	04/05/2023
B Colorado	Agent	Approved	05/30/2023
B Connecticut	Agent	Approved	05/17/2024
B Delaware	Agent	Approved	06/05/2023
B District of Columbia	Agent	Approved	04/07/2023
B Florida	Agent	Approved	04/05/2023
B Georgia	Agent	Approved	04/05/2023
B Illinois	Agent	Approved	04/05/2023
B Indiana	Agent	Approved	04/05/2023
B Maine	Agent	Approved	04/05/2023
B Maryland	Agent	Approved	04/05/2023
B Massachusetts	Agent	Approved	04/21/2023
B Michigan	Agent	Approved	04/05/2023
B Montana	Agent	Approved	04/06/2023
B Nebraska	Agent	Approved	05/20/2024
B Nevada	Agent	Approved	05/31/2023
B New Hampshire	Agent	Approved	04/26/2023
B New Jersey	Agent	Approved	05/26/2023
B New York	Agent	Approved	04/05/2023



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	04/05/2023
B Ohio	Agent	Approved	04/05/2023
B Oklahoma	Agent	Approved	03/18/2024
B Oregon	Agent	Approved	04/05/2023
B Pennsylvania	Agent	Approved	04/05/2023
IA Pennsylvania	Investment Adviser Representative	Approved	04/05/2023
B Puerto Rico	Agent	Approved	06/07/2023
B South Carolina	Agent	Approved	05/26/2023
B Tennessee	Agent	Approved	04/05/2023
B Texas	Agent	Approved	04/05/2023
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2023
B Utah	Agent	Approved	05/30/2023
B Virginia	Agent	Approved	05/26/2023
B Washington	Agent	Approved	07/18/2023
B West Virginia	Agent	Approved	04/05/2023
B Wisconsin	Agent	Approved	05/16/2023

Branch Office Locations

WELLS FARGO ADVISORS
 1606 CARMODY CT
 STE 401
 SEWICKLEY, PA 15143



Qualifications



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
General Securities Representative Examination (S7)	Series 7	06/13/2016
Futures Managed Funds Examination (S31)	Series 31	08/12/2002

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	06/21/2016
Uniform Investment Adviser Law Examination (S65)	Series 65	08/26/1996

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	06/23/2016 - 04/21/2023	MORGAN STANLEY	CRD# 149777	Pittsburgh, PA
B	06/13/2016 - 04/21/2023	MORGAN STANLEY	CRD# 149777	Pittsburgh, PA
IA	02/25/2011 - 05/09/2016	DUNMOYLE CAPITAL ADVISORS, LLC	CRD# 153667	PITTSBURGH, PA
B	03/11/2009 - 07/20/2010	BPU INVESTMENT MANAGEMENT INC.	CRD# 17058	PITTSBURGH, PA
IA	03/11/2009 - 07/20/2010	BPU INVESTMENT MANAGEMENT, INC.	CRD# 17058	PITTSBURGH, PA
B	03/05/2004 - 03/23/2009	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	PITTSBURGH, PA
IA	02/24/2006 - 02/13/2009	PARAGON WEALTH MANAGEMENT, LLC	CRD# 139231	PITTSBURGH, PA
IA	02/26/2004 - 09/10/2007	PROVIDENT WEALTH MANAGEMENT, LLC	CRD# 130417	SEWICKLEY, PA
IA	06/08/2001 - 03/10/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	PITTSBURGH, PA
B	11/23/1998 - 03/10/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	08/13/1996 - 11/30/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/31/1996 - 07/01/1996	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, 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
04/2023 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PITTSBURGH, PA, United States
09/2016 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - 04/2023	Morgan Stanley Private Bank, National Association	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
05/2016 - 09/2016	Morgan Stanley	Financial Advisor	Y	Pittsburgh, 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.

No information reported.



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: NASD

Sanction(s) Sought:

Date Initiated: 07/29/2003

Docket/Case Number: C9A030025

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES, INC.

Product Type: Mutual Fund

Allegations: NASD CONDUCT RULE 2110, 2310, AND IM-2310-2 - RESPONDENT ROBERT S. BARMAN RECOMMENDATION THAT A CUSTOMER PURCHASE CLASS B SHARES OF MUTUAL FUNDS INSTEAD OF CLASS A SHARES WAS UNSUITABLE IN THAT THE TOTAL SALES CHARGES AND OTHER COSTS ASSOCIATED WITH THE AVAILABLE CLASS A SHARES WERE LOWER. IF CLASS A SHARES HAD BEEN PURCHASED, THE TRANSACTIONS IN AGGREGATE WOULD HAVE QUALIFIED THE CUSTOMER FOR A BREAK POINT THAT WOULD HAVE REDUCED THE FRONT END SALES CHARGE ASSOCIATED WITH THE CLASS A SHARES. MOREOVER, CLASS A SHARES OF THE RESPECTIVE FUNDS CARRIED LOWER ONGOING EXPENSES THAN CLASS B SHARES.

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: 07/29/2003

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT ROBERT S. BARMEN CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$2,500.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 2, 2003 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON SEPTEMBER 15, 2003. FINES PAID ON AUGUST 18, 2003.

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Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 07/29/2003

Docket/Case Number: C9A030025

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: THE NASD ALLEGES VIOLATIONS OF CONDUCT RULE 2110, 2310, AND IM-2310-2 IN THAT THE ADVISOR'S RECOMMENDATION THAT A CUSTOMER PURCHASE CLASS B SHARES OF MUTUAL FUNDS INSTEAD OF CLASS A SHARES WAS UNSUITABLE SINCE THE TOTAL SALES CHARGES AND OTHER COSTS ASSOCIATED WITH THE AVAILABLE CLASS A SHARES WERE LOWER. FURTHER, THE PURCHASE OF CLASS A SHARES IN AGRRGATE WOULD HAVE QUALIFIED THE CUSTOMER FOR BREAK POINT THAT WOULD HAVE REDUCED THE FRONT END SALES CHARGES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/29/2003

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT ROBERT S. BARMEN CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$2,500.00 AND SUSPENDED



FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS STARTING ON SEPTEMBER 2, 2003 TO THE CLOSE OF BUSINESS ON SEPTEMBER 15, 2003.



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: PAINWEBBER INC.

Allegations: CLIENT ALLEGES THAT SHE NEVER AUTHORIZED FA TO SELL HER MUTUAL FUND. ADDITIONALLY, SHE ALLEGES THAT THE FA NEVER EXPLAINED TO HER THE DIFFERENCE BETWEEN A, B, AND C SHARES AND THE DIFFERENT FEES ASSOCIATED WITH EACH FUND. TIME PERIOD UNSPECIFIED. DAMAGES WERE NOT SPECIFIED BUT ESTIMATED TO BE OVER \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/02/2000

Complaint Pending? No

Status: Settled

Status Date: 10/27/2000

Settlement Amount: \$22,591.82

Individual Contribution Amount: \$0.00



End of Report

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