



IAPD Report

JONATHAN GRAHAM

CRD# 2766840

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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

JONATHAN GRAHAM (CRD# 2766840)

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 **01/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	08/19/2021
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	08/19/2021

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **6** 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	PRUCO SECURITIES, LLC.	5685	BELLEVUE, WA	05/19/2021 - 08/13/2021
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	BELLEVUE, WA	05/19/2021 - 08/13/2021
B	WADDELL & REED	866	LAS VEGAS, NV	09/16/2019 - 05/14/2021

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 6 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 Principal	Approved	08/19/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/19/2021
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	08/19/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	08/19/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/19/2021
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B Cboe Exchange, Inc.	Registered Options Principal	Approved	08/19/2021
B FINRA	General Securities Principal	Approved	08/19/2021
B FINRA	General Securities Representative	Approved	08/19/2021
B FINRA	General Securities Sales Supervisor	Approved	08/19/2021
B FINRA	Municipal Securities Principal	Approved	08/19/2021
B FINRA	Municipal Securities Representative	Approved	08/19/2021
B FINRA	Registered Options Principal	Approved	08/19/2021



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Principal	Approved	08/19/2021
B NYSE American LLC	General Securities Representative	Approved	08/19/2021
B NYSE American LLC	General Securities Sales Supervisor	Approved	08/19/2021
B NYSE American LLC	Municipal Securities Principal	Approved	08/19/2021
B NYSE American LLC	Municipal Securities Representative	Approved	08/19/2021
B NYSE American LLC	Registered Options Principal	Approved	08/19/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	08/19/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	08/19/2021
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B NYSE Arca, Inc.	Registered Options Principal	Approved	08/19/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	08/19/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	08/19/2021
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B Nasdaq GEMX, LLC	General Securities Principal	Approved	08/19/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/19/2021
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	08/19/2021
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	08/19/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	08/19/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/19/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	08/19/2021
B Nasdaq ISE, LLC	Registered Options Principal	Approved	08/19/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	08/19/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/19/2021
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/19/2021
B Nasdaq PHLX LLC	Registered Options Principal	Approved	08/19/2021
B Nasdaq Stock Market	General Securities Principal	Approved	08/19/2021
B Nasdaq Stock Market	General Securities Representative	Approved	08/19/2021
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/19/2021
B Nasdaq Stock Market	Registered Options Principal	Approved	08/19/2021
B New York Stock Exchange	General Securities Principal	Approved	08/19/2021
B New York Stock Exchange	General Securities Representative	Approved	08/19/2021
B New York Stock Exchange	General Securities Sales Supervisor	Approved	08/19/2021
B New York Stock Exchange	Municipal Securities Principal	Approved	08/19/2021
B New York Stock Exchange	Municipal Securities Representative	Approved	08/19/2021
B Alaska	Agent	Approved	10/11/2022
B Arkansas	Agent	Approved	08/23/2021
B California	Agent	Approved	08/19/2021
IA California	Investment Adviser Representative	Approved	08/19/2021



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	10/12/2021
B Utah	Agent	Approved	08/23/2021
B Washington	Agent	Approved	10/10/2022

Branch Office Locations

WELLS FARGO ADVISORS
1512 EUREKA RD 3RD FL
ROSEVILLE, CA 95661








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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	11/23/2011
 Municipal Securities Principal Examination (S53)	Series 53	04/29/2010
 General Securities Principal Examination (S24)	Series 24	02/16/2010

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/30/2008

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	05/30/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/13/1999



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	05/19/2021 - 08/13/2021	PRUCO SECURITIES, LLC.	CRD# 5685	BELLEVUE, WA
IA	05/19/2021 - 08/13/2021	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	BELLEVUE, WA
B	09/16/2019 - 05/14/2021	WADDELL & REED	CRD# 866	LAS VEGAS, NV
IA	09/13/2019 - 05/14/2021	WADDELL & REED	CRD# 866	LAS VEGAS, NV
B	04/28/2016 - 12/20/2018	LEUMI INVESTMENT SERVICES INC.	CRD# 105387	Los Angeles, CA
IA	04/28/2016 - 12/20/2018	LEUMI INVESTMENT SERVICES INC.	CRD# 105387	Los Angeles, CA
B	10/01/2012 - 04/18/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	CALABASAS, CA
IA	10/01/2012 - 04/18/2016	J.P. MORGAN SECURITIES LLC	CRD# 79	LOS ANGELES, CA
B	05/14/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SAN LUIS OBISPO, CA
IA	05/14/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SAN LUIS OBISPO, CA
IA	10/07/2008 - 04/03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PASADENA, CA
B	09/09/2008 - 04/03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PASADENA, CA
B	07/01/2008 - 09/15/2008	COUNTRYWIDE INVESTMENT SERVICES, INC.	CRD# 103919	ENCINO, CA
B	09/12/2003 - 04/06/2005	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	WEST DES MOINES, IA
B	01/04/2003 - 09/11/2003	CHICAGO INVESTMENT GROUP, LLC	CRD# 11853	CHICAGO, IL
B	01/08/2002 - 01/08/2003	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	06/14/2001 - 01/07/2002	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, WICHITA, KS, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0
HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, WICHITA, KS, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0
HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, KANSAS CITY, MO, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH
0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, BELTON, MO, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0
HRS DURING TRADING, OWNER. |
RENTAL PROPERTY ; INV RELATED; 100% OWNERSHIP; BLUE SPRINGS, MI; START 07/15/2023; 5 HOURS PER MONTH;
0 HOURS DURING TRADING; LANDLORD. |
RENTAL PROPERTY ; INV RELATED; 100% OWNERSHIP; BLUE SPRINGS, MI; START 07/15/2023; 5 HOURS PER MONTH;
0 HOURS DURING TRADING; LANDLORD. |
RENTAL PROPERTY; INV RELATED; 100% OWNERSHIP; TRUCKEE, CA; START 01/31/2025; 2 HOURS PER MONTH; 0
HOURS DURING TRADING; OWNER



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:	Individual
Regulatory Action Initiated By:	New York Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/21/2017
Docket/Case Number:	CSB-2017-1193858
Employing firm when activity occurred which led to the regulatory action:	Leumi Investment Services Inc.
Product Type:	Insurance
Allegations:	Mr. Graham was alleged to have signed-off, as sub-licensee, on an application prepared by Leumi Investment Services Inc. that contained incorrect information within the meaning of Section 2110(a)(2) of the New York Insurance Law.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	04/23/2018
Sanctions Ordered:	Monetary Penalty other than Fines



Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,500.00

Portion Levied against individual: \$0.00

Payment Plan: Payment in full

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Mr. Graham as a sub-licensee signed a Property and Casualty insurance application to the New York State Department of Financial Services on behalf of Leumi Investment Services Inc. The application had been prepared by Leumi Investment Services Inc. Unbeknownst to Mr. Graham, the application contained incomplete information, which Mr. Graham reasonably relied upon when he signed such application.



End of Report

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